

Nationwide Plan Review Phase 1 Report

February 10, 2006



Homeland
Security

Report Documentation Page

*Form Approved
OMB No. 0704-0188*

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1. REPORT DATE 10 FEB 2006	2. REPORT TYPE N/A	3. DATES COVERED -		
4. TITLE AND SUBTITLE Nationwide Plan Review Phase 1 Report		5a. CONTRACT NUMBER		
		5b. GRANT NUMBER		
		5c. PROGRAM ELEMENT NUMBER		
6. AUTHOR(S)		5d. PROJECT NUMBER		
		5e. TASK NUMBER		
		5f. WORK UNIT NUMBER		
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) U.S. Department of Homeland Security Washington, D.C. 20528		8. PERFORMING ORGANIZATION REPORT NUMBER		
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)		10. SPONSOR/MONITOR'S ACRONYM(S)		
		11. SPONSOR/MONITOR'S REPORT NUMBER(S)		
12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release, distribution unlimited				
13. SUPPLEMENTARY NOTES The original document contains color images.				
14. ABSTRACT				
15. SUBJECT TERMS				
16. SECURITY CLASSIFICATION OF:		17. LIMITATION OF ABSTRACT SAR	18. NUMBER OF PAGES 36	19a. NAME OF RESPONSIBLE PERSON
a. REPORT unclassified	b. ABSTRACT unclassified			

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REPORT TO CONGRESS ON THE FIRST PHASE OF THE NATIONWIDE PLAN REVIEW

REQUIRED BY THE 2006 DEPARTMENT OF HOMELAND SECURITY (DHS) APPROPRIATIONS ACT

The Department of Homeland Security is responsible for strengthening the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies. Planning is a key preparedness activity and a shared responsibility of all levels of government. The Department is committed to strengthening the collective planning capabilities of Federal, State, and local governments.

I am pleased to submit the Report to Congress: The Nationwide Plan Review (Phase 1) as directed by the Department of Homeland Security Fiscal Year 2006 (FY06) Appropriations Act. This Report meets the Congressional requirement to provide the status of catastrophic planning in all States and 75 of the Nation's largest urban areas, and the President's direction to review emergency plans for the Nation's major cities. Each State and urban area certified the status of its Emergency Operations Plans (EOPs) and identified when plans were last updated and exercised. The Phase 1 results presented in this report are the initial findings based on the self-assessments received from the States, Territories, and urban areas.

Many States, Territories, and urban areas are taking aggressive steps to upgrade their plans. They report that current plans are generally consistent with existing Federal planning guidance and voluntary standards. However, many States, Territories, and urban areas express less confidence in the adequacy and feasibility of their plans to deal with catastrophic events. This finding reinforces the priority in the National Preparedness Goal to strengthen plans and national planning processes in order to unify actions and better employ the combined capacity of Federal, State, and local governments.

The Department of Homeland Security will conduct a second phase of the Nationwide Plan Review to validate submissions and determine requirements for on-site planning assistance. We have enlisted teams of former State and local homeland security and emergency management officials to visit each State, Territory, and the 75 urban areas and perform a peer review of their plans. The results of these visits and specific recommendations to strengthen catastrophic planning will be provided in a report to the President and Congress before June 1, 2006.

Michael Chertoff
Secretary
Department of Homeland Security

INTRODUCTION

Hurricanes Katrina and Rita left more than 1,300 dead in their wake and forced millions of evacuees from five States along the Gulf Coast to seek shelter in 44 States and the District of Columbia. Complex disasters like Hurricane Katrina and the attacks of September 11, 2001 show that success hinges on uniting the combined capacity and actions of Federal, State, and local governments. We succeed collectively, and to do so we must have effective plans that detail how leaders and organizations will synchronize intergovernmental efforts to deal with the problems generated by catastrophic events.

The Nation is taking significant steps to improve catastrophic planning. We now have a comprehensive National Response Plan (NRP) and the National Incident Management System (NIMS), but much work remains. The pace of change has challenged planning at each level of government, and recent after-action reports show problems in the currency and quality of our Nation's plans.

On September 15th, 2005, in his Jackson Square address to the Nation, the President identified effective emergency planning as a *national security priority*, and directed the Department of Homeland Security to conduct a nationwide plan review:

“Our cities must have clear and up-to-date plans for responding to natural disasters, disease outbreaks, or terrorist attack... for evacuating large numbers of people in an emergency...and for providing the food, water, and security they would need. In a time of terror threats and weapons of mass destruction, the danger to our citizens reaches much wider than a fault line or a flood plain. I consider detailed emergency planning to be a national security priority. Therefore, I have ordered the Department of Homeland Security to undertake an immediate review, in cooperation with local counterparts, of emergency plans in every major city in America.”

The Conference Report (H.Rept. 109-241) to H.R. 2360, the Department of Homeland Security Appropriations Act, 2006, states, in part:

“It is imperative all States and Urban Area Security Initiative grantees ensure there are sufficient resources devoted to putting in place plans for the complete evacuation of residents, including special needs groups in hospitals and nursing homes, or residents without access to transportation, in advance of and after such an event, as well as plans for sustenance of evacuees.

The conferees direct the Secretary [of Homeland Security] to report on the status of catastrophic planning, including mass evacuation planning in all 50 States and the 75 largest urban areas by February 10, 2006. The report should include certifications from each State and urban area as to the exact status of plans for evacuations of entire metropolitan areas in the State and the entire State, the dates such plans were last updated, the date exercises were last conducted using the plans, and plans for sustenance of evacuees.”

The President signed H.R. 3, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), which states in part:

“The Secretary [of Transportation] and the Secretary of Homeland Security, in coordination with Gulf Coast States and contiguous States, shall jointly review and assess Federal and State evacuation plans for catastrophic hurricanes impacting the Gulf Coast

Region and report its findings and recommendations to Congress. ...The Secretaries shall consult with appropriate Federal, State, and local transportation and emergency management agencies...and consider, at a minimum, all practical modes of transportation available for evacuations; the extent to which evacuation plans are coordinated with neighboring States; methods of communicating evacuation plans and preparing citizens in advance of evacuations; and methods of coordinating communication with evacuees during plan execution."

In response to these requirements, DHS launched a nationwide review of State, Territorial, and urban area emergency and evacuation plans. Congress directed the Departments of Homeland Security and Transportation to collaborate in this important effort, and both are leveraging their respective expertise. DHS enlisted the assistance of State and local Homeland Security Advisors, Emergency Managers and other specialists to design a two-phase review. A number of key partners, including the Department of Transportation (DOT), Department of Defense (DOD) and our Federal Emergency Management Agency (FEMA) are providing expertise. The DHS Office of Civil Rights and Civil Liberties and Citizen Corps Program are also providing in-depth analysis related to special needs populations and citizen preparedness.

In the first phase of the review, which ended January 17, 2006, States, Territories, and urban areas submitted their plans, narrative self-assessments, and certifications of plan status. Peer Review Teams comprised of former State and local emergency management and homeland security officials are reviewing the submissions in preparation for Phase 2 site visits. This Report documents the results of the first phase.

In the second phase, the Peer Review Teams are being dispatched to each State, Territory, and urban area to collaboratively validate self-assessments, determine requirements for planning assistance, collect best practices, and recommend corrective actions. Our intent is to complete the peer reviews by the end of April 2006. The reviews are being organized to support synchronized regional, State, Territorial, and urban area planning. The Phase 1 and Phase 2 results will be combined in a DHS Final Report and a companion DOT Report to be issued before June 1, 2006, which marks the official start of the 2006 hurricane season.

Purpose and Scope of the Interim Report

Responsibility for the review was assigned to the Department of Homeland Security's new Preparedness Directorate. Staff and subject-matter experts developed a proposed review methodology that was approved by Secretary Michael Chertoff on October 26, 2005. On November 23, 2005, DHS issued an Information Bulletin to States, Territories and the 75 urban areas describing the review and identifying required submissions.

The purpose of this Report is to summarize the results of these submissions, provide a preliminary analysis of the status of nationwide catastrophic planning, and identify next steps.

Like Phase 1, Phase 2 will emphasize identification, prioritization, and correction of *critical deficiencies* (i.e., those that may prevent successful execution of the plan). The Peer Review Teams and other subject-matter experts developed a plan review template for use during site visits which has been provided to States, Territories, and urban areas. The Teams will provide immediate feedback on their observations during the visit. State, Territory, and urban area planning teams will also have an opportunity to make specific recommendations on actions that can be taken nationally to improve the quality and consistency of catastrophic planning across the Nation.

Secretary Chertoff provided a letter of introduction to Governors, Mayors and Chief Executives describing the Review and soliciting their assistance in identifying a member of their immediate staff to attend the peer review along with members of their leadership team who are responsible for emergency operations planning, including Homeland Security Directors/Advisors, State Administrative Agents, Directors of Emergency Management, Directors of Transportation, Directors of Public Safety, Directors of Public Health, Adjutants General, and others they deem appropriate.

To safeguard plans and information identifying specific potential shortcomings, the Department has set up a secure Internet portal to receive and manage all plans, certifications, and self-assessments, and provide the means for secure communication among Peer Review Teams. Access to the content of submissions and analytical data is strictly controlled. Compilation of this Report included an operational security review.

Overall Objectives of the Nationwide Plan Review

Completion of both phases of the Nationwide Plan Review will provide a comprehensive assessment of the nationwide status of catastrophic planning. DHS intends to share the results of this assessment with its partners at each level of government and in a Final Report in order to:

- Identify acute planning deficiencies and quickly target assistance to aid in their correction;
- Identify a range of solutions to strengthen catastrophic planning;
- Update Federal planning guidance and doctrine;
- Strengthen the linkage of homeland security grants to emergency plans;
- Identify constraints to effective planning;
- Improve definition, measurement, and reduction of risk;
- Develop collective national confidence in the adequacy and feasibility of our plans.

INTERIM FINDINGS

The Phase 1 analysis is based on information provided by States, Territories, and urban areas in response to the DHS Preparedness Directorate's [Information Bulletin 197](#) (IB197) released November 23, 2005. IB197 requested a narrative response and certification matrix detailing the status of catastrophic planning efforts from 131 jurisdictions (50 States, 5 Territories, the District of Columbia, and 75 urban areas). In response to that request, DHS received 128 (98%) certification matrices (see [Appendix B](#)) by the established deadline. This Report focuses on information provided in the certification matrices. The Phase 1 analysis effort is based on self-assessed, self-reported information from the States, Territories, and urban areas on the status of nine plan components. Additional analyses of the narrative responses, along with peer reviews of catastrophic planning efforts, will occur during Phase 2 of the Nationwide Plan Review. The results of the Phase 1 analyses provide an initial high-level assessment of the state of catastrophic emergency planning in the United States, guiding the more detailed assessments that will occur throughout Phase 2.

Scope of Data

In accordance with congressional direction, States, Territories, and urban areas responded to IB197 by submitting a certification matrix answering four core questions:

1. Whether the jurisdiction's plan components were consistent with existing Federal planning guidance (such as FEMA's *Guide for All-Hazard Emergency Operations Planning, State and Local Guide (SLG 101)*) and voluntary standards (such as the National Fire Protection Association (NFPA) 1600 *Standard on Disaster/Emergency Management and Business Continuity*);
2. When the jurisdiction last exercised its plan components;
3. When the jurisdiction last updated its plan components; and
4. Whether the jurisdiction was confident in the adequacy of its plan components to manage a catastrophic event.

Jurisdictions were asked to answer the core questions for nine specific plan components (as described in Chapters 4 and 5 of *SLG 101*):

- Basic Plan
- Direction and Control Annex
- Communications Annex
- Public Warning Annex
- Emergency Public Information Annex
- Evacuation Annex
- Mass Care Annex
- Health and Medical Annex
- Resource Management Annex

SLG 101 highlights these annexes as addressing “core functions that warrant attention and may require that specific actions be taken during emergency response operations” For this reason, Phase 1 analytical efforts focused on these plan components despite their not being mandatory components of an EOP.

PHASE 1 RESULTS

Summary of State and Urban Area Certification Matrix Data

The following tables summarize the certification matrix responses submitted by States and urban areas:

National Survey of State Emergency Management Capabilities									
State		Basic Plan		Direction & Control Annex		Comms Annex		Public Warning Annex	
		Count	%	Count	%	Count	%	Count	%
States: Consistent with Existing Federal Planning Guidance and Voluntary Standards									
# (%) of "Yes" Responses		52	(92.9%)	50	(89.3%)	47	(83.9%)	47	(83.9%)
# (%) of "No" Responses		3	(5.4%)	4	(7.1%)	6	(10.7%)	7	(12.5%)
# (%) of "No Answer" Responses		1	(1.8%)	2	(3.6%)	3	(5.4%)	2	(3.6%)
States: Adequate to Manage Catastrophic Event									
# (%) of "Yes" Responses		22	(39.3%)	22	(39.3%)	17	(30.4%)	20	(35.7%)
# (%) of "Qualified Yes" Responses		15	(26.8%)	13	(23.2%)	16	(28.6%)	15	(26.8%)
# (%) of "No" Responses		16	(28.6%)	16	(28.6%)	18	(32.1%)	16	(28.6%)
# (%) of "No Answer" Responses		3	(5.4%)	5	(8.9%)	5	(8.9%)	5	(8.9%)
States: Plan Last Exercised									
# (%) of "< 1 YEAR" Responses		47	(83.9%)	44	(78.6%)	43	(76.8%)	40	(71.4%)
# (%) of "1 – 2 YEARS" Responses		5	(8.9%)	3	(5.4%)	5	(8.9%)	4	(7.1%)
# (%) of "2 – 3 YEARS" Responses		0	(0.0%)	0	(0.0%)	0	(0.0%)	2	(3.6%)
# (%) of "3 – 4 YEARS" Responses		0	(0.0%)	0	(0.0%)	0	(0.0%)	0	(0.0%)
# (%) of "4+ YEARS" Responses		0	(0.0%)	0	(0.0%)	0	(0.0%)	0	(0.0%)
# (%) of "No Answer" Responses		4	(7.1%)	9	(16.1%)	8	(14.3%)	12	(21.4%)
States: Plan Last Updated									
# (%) of "< 1 YEAR" Responses		33	(58.9%)	32	(57.1%)	31	(55.4%)	27	(48.2%)
# (%) of "1 – 2 YEARS" Responses		9	(16.1%)	8	(14.3%)	9	(16.1%)	10	(17.9%)
# (%) of "2 – 3 YEARS" Responses		4	(7.1%)	2	(3.6%)	3	(5.4%)	4	(7.1%)
# (%) of "3 – 4 YEARS" Responses		1	(1.8%)	1	(1.8%)	0	(0.0%)	0	(0.0%)
# (%) of "4+ YEARS" Responses		4	(7.1%)	3	(5.4%)	3	(5.4%)	2	(3.6%)
# (%) of "No Answer" Responses		5	(8.9%)	10	(17.9%)	10	(17.9%)	13	(23.2%)

Urban Areas: Consistent with Existing Federal Planning Guidance and Voluntary Standards									
	Basic Plan	Direction & Control Annex	Comms Annex	Public Warning Annex	Emergency Public Info Annex	Evacuation Annex	Mass Care Annex	Health & Medical Annex	Resource Mgmt Annex
# (%) of "Yes" Responses	61 (81.3%)	61 (81.3%)	63 (84.0%)	61 (81.3%)	60 (80.0%)	47 (62.7%)	53 (70.7%)	56 (74.7%)	48 (64.0%)
# (%) of "No" Responses	5 (6.7%)	6 (8.0%)	3 (4.0%)	4 (5.3%)	6 (8.0%)	18 (24.0%)	12 (16.0%)	8 (10.7%)	15 (20.0%)
# (%) of "No Answer" Responses	9 (12.0%)	8 (10.7%)	9 (12.0%)	10 (13.3%)	9 (12.0%)	10 (13.3%)	10 (13.3%)	11 (14.7%)	12 (16.0%)
Urban Areas: Adequate to Manage Catastrophic Events									
	Basic Plan	Direction & Control Annex	Comms Annex	Public Warning Annex	Emergency Public Info Annex	Evacuation Annex	Mass Care Annex	Health & Medical Annex	Resource Mgmt Annex
# (%) of "Yes" Responses	23 (30.7%)	23 (30.7%)	22 (29.3%)	24 (32.0%)	22 (29.3%)	7 (9.3%)	11 (14.7%)	13 (17.3%)	13 (17.3%)
# (%) of "Qualified Yes" Responses	20 (26.7%)	28 (37.3%)	26 (34.7%)	23 (30.7%)	26 (34.7%)	24 (32.0%)	22 (29.3%)	27 (36.0%)	22 (29.3%)
# (%) of "No" Responses	22 (29.3%)	18 (24.0%)	19 (25.3%)	20 (26.7%)	18 (24.0%)	33 (44.0%)	30 (40.0%)	24 (32.0%)	31 (41.3%)
# (%) of "No Answer" Responses	10 (13.3%)	6 (8.0%)	8 (10.7%)	8 (10.7%)	9 (12.0%)	11 (14.7%)	12 (16.0%)	11 (14.7%)	9 (12.0%)
Urban Areas: Plan Last Exercised									
	Basic Plan	Direction & Control Annex	Comms Annex	Public Warning Annex	Emergency Public Info Annex	Evacuation Annex	Mass Care Annex	Health & Medical Annex	Resource Mgmt Annex
# (%) of "< 1 YEAR" Responses	55 (73.3%)	56 (74.7%)	57 (76.0%)	51 (68.0%)	55 (73.3%)	41 (54.7%)	49 (65.3%)	45 (60.0%)	41 (54.7%)
# (%) of "1 – 2 YEARS" Responses	3 (4.0%)	3 (4.0%)	2 (2.7%)	3 (4.0%)	5 (6.7%)	6 (8.0%)	3 (4.0%)	4 (5.3%)	5 (6.7%)
# (%) of "2 – 3 YEARS" Responses	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (1.3%)	1 (1.3%)	1 (1.3%)	1 (1.3%)
# (%) of "3 – 4 YEARS" Responses	1 (1.3%)	1 (1.3%)	2 (2.7%)	1 (1.3%)	1 (1.3%)	0 (0.0%)	0 (0.0%)	1 (1.3%)	1 (1.3%)
# (%) of "4+ YEARS" Responses	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (1.3%)	0 (0.0%)	3 (4.0%)	1 (1.3%)	0 (0.0%)	1 (1.3%)
# (%) of "No Answer" Responses	16 (21.3%)	15 (20.0%)	14 (18.7%)	19 (25.3%)	14 (18.7%)	24 (32.0%)	21 (28.0%)	24 (32.0%)	26 (34.7%)
Urban Areas: Plan Last Updated									
	Basic Plan	Direction & Control Annex	Comms Annex	Public Warning Annex	Emergency Public Info Annex	Evacuation Annex	Mass Care Annex	Health & Medical Annex	Resource Mgmt Annex
# (%) of "< 1 YEAR" Responses	49 (65.3%)	48 (64.0%)	46 (61.3%)	48 (64.0%)	48 (64.0%)	40 (53.3%)	43 (57.3%)	41 (54.7%)	40 (53.3%)
# (%) of "1 – 2 YEARS" Responses	12 (16.0%)	9 (12.0%)	11 (14.7%)	15 (20.0%)	9 (12.0%)	11 (14.7%)	12 (16.0%)	10 (13.3%)	8 (10.7%)
# (%) of "2 – 3 YEARS" Responses	6 (8.0%)	6 (8.0%)	5 (6.7%)	5 (6.7%)	7 (9.3%)	5 (6.7%)	4 (5.3%)	5 (6.7%)	2 (2.7%)
# (%) of "3 – 4 YEARS" Responses	5 (6.7%)	5 (6.7%)	5 (6.7%)	3 (4.0%)	4 (5.3%)	5 (6.7%)	6 (8.0%)	5 (6.7%)	3 (4.0%)
# (%) of "4+ YEARS" Responses	6 (8.0%)	6 (8.0%)	9 (12.0%)	9 (12.0%)	7 (9.3%)	7 (9.3%)	6 (8.0%)	7 (9.3%)	8 (10.7%)
# (%) of "No Answer" Responses	9 (12.0%)	9 (12.0%)	10 (13.3%)	10 (13.3%)	9 (12.0%)	17 (22.7%)	16 (21.3%)	17 (22.7%)	21 (28.0%)

Summary of Findings

The results of Phase 1 below are based on the self-assessments completed by States, Territories, and urban areas. Based on analysis of the certification matrix responses, DHS identified the following key findings, which are discussed in more detail below:

1. States' and urban areas' plan components are generally consistent with existing Federal planning guidance such as *SLG 101* and voluntary standards such as NFPA 1600;
2. For States and urban areas, having plans that are consistent with existing Federal planning guidance and voluntary standards does not translate into confidence in those plans to manage catastrophic events;
3. The majority of States and urban areas have exercised their plan components within the past two years, though updates to plan components have not been as consistent;
4. Plan components that have been updated recently are more likely to be consistent with existing Federal planning guidance and voluntary standards;
5. Plan components that have been updated recently are more likely to be considered adequate for managing catastrophic events; and
6. More populous States tend to have plan components that are consistent with existing Federal planning guidance and voluntary standards.

Finding 1: States' and urban areas' plan components are largely consistent with existing Federal planning guidance such as *SLG 101* and voluntary standards such as NFPA 1600.

- **State Findings:** As shown in [Figure 1.1](#), for all plan components, a strong majority of States reported that their plan components are consistent with existing Federal planning guidance and voluntary standards. States reported the strongest results for the Basic Plan, with 93% indicating consistency with existing Federal planning guidance and voluntary standards. The most problematic plan component for States was the Evacuation Annex, with 29% of States/Territories reporting that their annex was not consistent with existing Federal planning guidance and voluntary standards. For all other plan components, the percent of States reporting inconsistency with existing Federal planning guidance and voluntary standards was between 5% and 18%.
- **Urban Area Findings:** As with States, a strong majority of urban areas reported that their plan components are consistent with existing Federal planning guidance and voluntary standards (see [Figure 1.2](#)). Again, the most problematic plan component was the Evacuation Annex, with 24% of urban areas reporting that the annex was not consistent with existing Federal planning guidance and voluntary standards. For all other plan components, the number of urban areas reporting inconsistency with existing Federal planning guidance and voluntary standards was between 4% and 20%.
- **Phase 2 Implications:** Overall, this finding indicates a baseline consistency with existing Federal planning guidance and voluntary standards for both States and

urban areas. In addition, both States and urban areas reported the lowest rates of consistency with existing Federal planning guidance and voluntary standards for the Evacuation Annex. Compared to States' responses, urban areas' plan components were not as consistent with existing Federal planning guidance and voluntary standards. Phase 2 analyses will seek to explore the root cause differences of this discrepancy.

Finding 2: For States and urban areas, having plans that are consistent with existing Federal planning guidance and voluntary standards does not translate into confidence in those plans for managing catastrophic events.

- **State Findings:** States having plan components consistent with existing Federal planning guidance and voluntary standards reported a lack of confidence in the adequacy of those components to manage a catastrophe. For States, this trend was most prevalent for the Evacuation Annex, Mass Care Annex, Health and Medical Annex, and Resource Management Annex.

As shown in [Figure 2.1](#), less than half (42%) of States that reported that their Basic Plan was consistent with existing Federal planning guidance and voluntary standards felt confident that their plan was adequate to manage a catastrophe. These same trends are reflected in [Maps 2.1-2.4](#), which depict Basic Plans' and Evacuation Annexes' consistency with existing Federal planning guidance and voluntary standards and adequacy in managing catastrophic events. In these maps, smaller percentages of States report confidence in their plans' adequacy to manage catastrophic events than report consistency with existing Federal planning guidance and voluntary standards.

- **Urban Area Findings:** The divergences between consistency with existing Federal planning guidance and voluntary standards and adequacy for catastrophes were also evident for urban areas. As shown in [Figure 2.2](#), only 36% of urban areas that reported that their Basic Plan was consistent with existing Federal planning guidance and voluntary standards felt confident that their plan was adequate to manage a catastrophe. For urban areas, as with States, this trend was most prevalent for the Evacuation Annex, Mass Care Annex, Health and Medical Annex, and Resource Management Annex. [Figures 2.3-2.6](#) further highlight these trends as smaller percentages of urban areas are confident in their plans' adequacy to manage catastrophic events than report consistency with existing Federal planning guidance and voluntary standards.
- **Phase 2 Implications:** Nationwide, States and urban areas having plan components consistent with existing Federal planning guidance and voluntary standards reported a lack of confidence in the adequacy of those plan components to manage a catastrophe. Phase 2 analyses will seek to explore these divergences more closely. Of particular importance will be identifying the gaps between basic compliance with existing Federal planning guidance and voluntary standards and preparedness for catastrophes. Phase 2 analyses will also seek to explore this more closely and highlight best practices on how States and urban areas ensure that plan components are adequate to manage catastrophes.

Finding 3: The majority of States and urban areas have exercised their plan components within the past two years though updates to plan components have not been as consistent.

- **State Findings:** A vast majority of States have exercised their plan components in the past two years, with only an average of 2% reporting that plan components have not been exercised in over four years. Five percent of States reported that plan components have not been updated in over four years. [Maps 3.1-3.4](#) highlight these comparisons for the Basic Plan and Evacuation Annex.
- **Urban Area Findings:** Similarly, a majority of urban areas have exercised plan components in the last year, but a smaller percentage report that they have recently updated plan components. One percent of urban areas report that plan components have not been updated in the last four years, as opposed to 10% reporting that they have not been exercised. [Figures 3-1-3.4](#) highlight these comparisons for the Basic Plan and Evacuation Annex.
- **Phase 2 Implications:** Exercises provide opportunities for States and urban areas to test plan components, highlight strengths and weaknesses of plans, and then address weaknesses through corrective actions. However, the divergence between the frequency of exercises and plan updates indicate that the relationship between exercises and plan updates requires further examination. Phase 2 will explore how States and urban areas link exercise outcomes to plan updates and how best to strengthen the linkages between exercising and updating plans.

Finding 4: Plan components that have been updated recently are more likely to be consistent with existing Federal planning guidance and voluntary standards.

- **State Findings:** States that have recently updated their plan components are much more likely to report consistency with existing Federal planning guidance and voluntary standards. As highlighted in [Figure 4.1](#), a strong majority (63% + 17%) of States reporting that their Basic Plans are consistent with existing Federal planning guidance and voluntary standards updated those plans in the past two years. On the other hand, two of the three States (67%) with Basic Plans not consistent with existing Federal planning guidance and voluntary standards have not updated their plans in more than four years.
- **Urban Area Findings:** Urban areas with recently updated plan components were also more likely to report compliance with existing Federal planning guidance and voluntary standards. [Figure 4.2](#) shows that a strong majority (56% + 18%) of urban areas reporting Basic Plans that are consistent with existing Federal planning guidance and voluntary standards updated those plans in the last two years. In addition, the majority (40% + 20%) of urban areas with Basic Plans that are not consistent with existing Federal planning guidance and voluntary standards have not updated those plans in three or more years.
- **Phase 2 Implications:** The Phase 2 analyses will provide an opportunity to examine in more detail the planning process and timeline to update plan components. In particular, Phase 2 will examine in detail those States and urban areas that have not updated their plans recently to understand the factors that influence such decisions.

Finding 5: Plan components that have been updated recently are more likely to be considered adequate to manage catastrophic events.

- **State Findings:** Similar to Finding 4, States that have recently updated plans report greater confidence in those plans' adequacy to manage a catastrophic event. As indicated in [Figure 5.1](#), 77% of States reporting confidence in the adequacy of their Basic Plans to manage catastrophic events also reported that their Basic Plans had been updated in the last year. In contrast, no States that had not updated plans within the last three years reported confidence in the adequacy of their Basic Plans to manage catastrophic events.
- **Urban Area Findings:** Urban area responses similarly highlighted a relationship between updating plans and plans' adequacy to manage catastrophes. As highlighted in [Figure 5.2](#), 78% of urban areas reporting confidence in the adequacy of their Basic Plans to manage catastrophic events also reported that their plans had been updated in the last year. On the other hand, no urban area that had not updated its Basic Plan in the last three years reported confidence in its adequacy to manage a catastrophic event.
- **Phase 2 Implications:** Coupled with Finding 4, these findings indicate an even stronger need to understand the factors that influence the planning process and timeline to update plans.

Finding 6: More populous States tend to have plan components that are consistent with existing Federal planning guidance and voluntary standards.

- **State Findings:** Overall, the majority of States with populations ranging from less than 1 million to more than 8 million reported that their Basic Plans were consistent with existing Federal planning guidance and voluntary standards. As [Figure 6.1](#) highlights, State population sizes are related to frequency of reported consistency with existing Federal planning guidance and voluntary standards. Only States in the two smallest population brackets (3 million people or fewer) reported that their Basic Plans are not consistent with existing Federal planning guidance and voluntary standards.
- **Urban Area Findings:** The relationship between population size and consistency of plans with existing Federal planning guidance and voluntary standards is not as prevalent for urban areas as shown in [Figure 6.2](#). The likely reason for this divergence from State-level trends is that the population ranges for urban areas are much smaller than those for States.
- **Phase 2 Implications:** The Phase 2 analyses will provide an opportunity to examine how population size influences planning-related outcomes and the relationship of population size to risk factors.

SUMMARY AND NEXT STEPS

States, Territories and urban areas report that current plans are generally consistent with existing Federal planning guidance and voluntary standards. However, many States, Territories, and urban areas expressed considerably less confidence in the adequacy and feasibility of their plans to deal with catastrophic events (as defined in [Appendix A](#)). Catastrophic incidents are defined in the National Response Plan (NRP) as

“...any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened.”

While this establishes a *qualitative* definition, detailed catastrophic planning requires use of planning magnitudes that are likely to be larger than the shared national experience. The recently developed National Planning Scenarios establish magnitudes that were used to set capability levels in the Target Capabilities List developed as a part of the National Preparedness Goal required by Homeland Security Presidential Directive/HSPD-8, “National Preparedness.” They provide a common start point for planning and resource allocation decisions.

In the United States, planning responsibilities are decentralized and divided among levels of government. Hurricane Katrina demonstrated that catastrophic events require fully integrated intergovernmental actions and combined capacities. Two competing imperatives—decentralization and synchronization—converge at the point where plans are most likely to break. Phase 1 analysis suggests that current nationwide planning does not adequately address synchronization for catastrophic events.

Synchronization is more than coordination—it is both *a process* and *an effect*. As a process, it identifies gaps and inconsistencies in plans before, rather than during, the event. As an effect, it ensures intergovernmental actions and capabilities are arranged to produce the desired effect—whether evacuation, search and rescue, or the provision of mass care—at the place and time and in accord with the purpose prescribed by our combined plans.

The Phase 1 analysis of submitted self-assessments identified four preliminary observations:

- The need to employ common planning magnitudes for catastrophic planning;
- The need for shared national planning that ensures the adequacy and feasibility of our combined plans by emphasizing their *synchronization*;
- The need to strengthen the linkage of Federal programming, planning, and budgeting and grant funding to operational needs. Plans represent the point where these resources and those of States, Territories and urban areas converge and are translated into action; and

-
- The need for a national measurement system that provides accountability by periodically assessing and reporting the adequacy and feasibility of the Nation's plans, and focusing national preparedness (e.g. training and exercises) on developing the collective proficiency and capacity required by our combined plans.

The second phase of the Nationwide Plan Review is well underway and will determine the validity of these preliminary observations. These preliminary observations may be revised based on the results of the Peer Team Reviews. The Department's intent is to complete Phase 2 by the end of April 2006 and issue a Final Report in concert with the Department of Transportation before June 1, 2006.

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APPENDIX A: INFORMATION BULLETIN 197

Preparedness Directorate
Office of Grants and Training
Washington, DC 20531



Homeland
Security

Preparedness Directorate Information Bulletin
No. 197 November 23, 2005

TO: All State Homeland Security Directors
All State Administrative Agency Heads
All State Administrative Agency Points of Contact
All Urban Area Core City/Core County Points of Contact

FROM: Robert B. Stephan
Acting Under Secretary for Preparedness

SUBJECT: Nationwide Plan Review

Hurricanes Katrina and Rita left in their wake more than 1,300 dead and forced millions of evacuees from 5 States along the Gulf Coast to seek shelter in 44 States and the District of Columbia. On September 15, 2005, President Bush addressed the Nation, and stated, in part:

"Our cities must have clear and up-to-date plans for responding to natural disasters, disease outbreaks, or terrorist attack...for evacuating large numbers of people in an emergency...and for providing the food, water, and security they would need. In a time of terror threats and weapons of mass destruction, the danger to our citizens reaches much wider than a fault line or a flood plain. I consider detailed emergency planning to be a national security priority. Therefore, I have ordered the Department of Homeland Security to undertake an immediate review, in cooperation with local counterparts, of emergency plans in every major city in America."

In response, Congress issued H.R. 2360, Department of Homeland Security Appropriations Act, 2006, which states, in part:

"It is imperative all States and Urban Area Security Initiative grantees ensure there are sufficient resources devoted to putting in place plans for the complete evacuation of residents, including special needs groups in hospitals and nursing homes, or residents without access to transportation, in advance of and after such an event, as well as plans for sustenance of evacuees. The conferees direct the Secretary [of Homeland Security] to report on the status of catastrophic planning, including mass evacuation planning in all 50 States and the 75 largest urban areas by February 10, 2006. The report should include certifications from each State and urban area as to the exact status of plans for evacuations of entire metropolitan areas in the State and the entire State, the dates such plans were last updated, the date exercises were last conducted using the plans, and plans for sustenance of evacuees."

Congress also issued H.R. 3, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), which states in part:

"The Secretary [of Transportation] and the Secretary of Homeland Security, in coordination with Gulf Coast States and contiguous States, shall jointly review and assess Federal and State evacuation plans for catastrophic hurricanes impacting the Gulf Coast Region and report its findings and recommendations to Congress. ...The Secretaries shall consult with appropriate Federal, State, and local transportation and emergency management agencies ...and consider, at a minimum, all practical modes of transportation available for evacuations; the extent to which evacuation plans are coordinated with neighboring States; methods of communicating evacuation plans and preparing citizens in advance of evacuations; and methods of coordinating communication with evacuees during plan execution."

The Department of Homeland Security (DHS) Preparedness Directorate will lead the nationwide review in coordination with the Department of Transportation. Many States and major cities have already begun to examine their plans, and Federal departments and agencies have been directed to identify lessons learned from Hurricanes Katrina and Rita. Close coordination will be essential in order to complete the review before the start of the 2006 hurricane season.

Participation is a prerequisite for receipt of FY2006 DHS Homeland Security grant funds. The review will be divided into two phases. The first phase will consist of self-assessment and certification of plan status by each State and urban area/major city, as described in this Information Bulletin. The second phase will consist of peer review by teams of former State and local emergency management and homeland security officials who will visit each State and urban area/major city to validate plan status and determine requirements for planning assistance. Both phases will focus on efforts to identify, prioritize, and correct critical deficiencies (i.e., those that may prevent execution of the plan as written).

In order to support this process, your State / urban area / major city needs to provide the following to the Directorate's Office of Grants and Training (formerly the Office of State and Local Government Coordination and Preparedness) by Tuesday, January 17, 2006:

1. A brief narrative self-assessment, as outlined below,
2. A statement of certification (see attached sheet), and
3. Electronic copies of plans or plan components referenced in the narrative, a list of mutual aid agreements supporting those plans (if not listed in the plans themselves), and a list of After Action Reports for recent exercises and operations. These will assist the peer review teams in preparing for their onsite visits.

Additional questions may be directed to the Centralized Scheduling and Information Desk at askcsid@dhs.gov, 1-800-368-6498.

Self-Assessment Narrative Outline

The narrative should summarize the planning coordinated by your State / urban area / major city to manage catastrophic events¹ and identify and prioritize areas for further analysis and improvement. In preparing the narrative, you are required to use State and Local Guide (SLG) 101, *Guide for All-Hazard Emergency Operations Planning* (available online at <http://www.fema.gov/mr/gaheop.shtml>). Please provide any recommended changes to SLG 101 that you identify during the course of your review. You may supplement that guidance with information from other nationally-accepted reference documents (see references below), provided that you cite those references. The narrative must include the following, at a minimum:

- **Transmittal Letter** – The letter must be signed by a senior elected or appointed official of the State / urban area / major city. Transmittal letters for State / Territory plan reviews should be signed by the State Homeland Security Advisor or Emergency Management Director. For those urban areas / major cities that are not grantees in the FY 2005 UASI program, the State is expected to coordinate input from appropriate jurisdictions and provide the transmittal letter. The letter must certify that the information provided in the plan review is true and accurate.
- **Current Capability for Mass Evacuations** – Describe in specific and measurable terms how a successful mass evacuation could be conducted with current capability in your State / urban area / major city (i.e., how many people in total, including what percentage with what types of special needs, over what time period, using what evacuation and shelter options).
- **Catastrophic Event Planning** – Provide concise answers to the following questions. Describe critical issues or constraints that seriously limit your jurisdiction's ability to manage a catastrophic event with evacuation and shelter requirements *comparable* to Hurricanes Katrina and Rita. Be sure to highlight where you need Federal assistance to develop a solution.
 - What changes in authorities or regulations are necessary for your plan to meet the demands of a catastrophic event?
 - What actions are being taken to ensure the resiliency of your social services and to ease enrollment processes in the event of a catastrophic event?
 - What actions are being taken to fully address requirements for populations with special needs, particularly persons with disabilities?
 - What actions are being taken to ensure prompt evacuation of patients (ambulatory and non-ambulatory) from health care or other facilities?
 - What actions are being taken to ensure prompt augmentation of response resources (i.e., law enforcement) following a catastrophic event?

¹ The National Response Plan (NRP) defines a catastrophic event as: "...any natural or manmade incident, including terrorism that, results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened."

- What actions are being taken to strengthen regional planning and ensure requests for assistance, which are typically sequential (local–State–Federal) can meet urgent needs?
- What actions are being taken to ensure delivery networks for critical services and supplies / products are adequate to meet the increased demand in a catastrophic event?
- What actions are being taken to ensure your evacuation planning is mutually supportive among contiguous jurisdictions and States, uses all available transportation modes (ground, rail, air, and sea) and resources, identifies routes of egress / ingress; and identifies destinations and shelter options for displaced populations?
- **Status of the Emergency Operations Plan** – You should review the plan components related to evacuation and shelter options and answer these three questions:
 - Is it *adequate*? A plan is considered adequate if it complies with applicable guidance, the planning assumptions are valid, and the concept of operations identifies and addresses critical tasks effectively.
 - Is it *feasible*? A plan is considered feasible if critical tasks can be accomplished with resources available internally or through mutual aid, immediate needs for additional resources through State and/or Federal assistance are identified in detail and coordinated in advance, and procedures describe how to integrate and employ resources from all these potential sources.
 - Is it *acceptable*? Finally, a plan is considered acceptable if it can meet the requirements of a catastrophic event, it can be implemented within costs and timeframes that senior officials and the public can support, and is consistent with the law.
- **Operational Solutions** – Identify short-term actions to correct the critical issues / constraints identified above. Include “work-arounds” that will be employed as interim measures pending longer-term solutions. For example, if the need to secure transportation funding for a major alternate route constrains your ability to conduct a mass evacuation, identify actions you are taking to compensate, such as an earlier declaration of emergency.
- **Preparedness Solutions** – Describe long-term actions to build capability to address the critical issues / constraints identified above. These actions should be reflected in your State / urban area / major city homeland security strategy.

Suggested References

1. *Guide for All-Hazard Emergency Operations Planning, State and Local Guide (SLG) 101.*
2. Three related capabilities from the Target Capabilities List (TCL) that accompanies the National Preparedness Goal (Planning, Citizen Protection, and Mass Care).
3. National Fire Protection Association (NFPA) 1600, *Standard on Disaster/Emergency Management and Business Continuity Programs* and the Emergency Management Accreditation Program (EMAP).
4. The National Incident Management System (NIMS) and National Response Plan (NRP).
5. *Criteria for Preparation and Evaluation of Radiological Emergency Response Plans and Preparedness in Support of Nuclear Power Plants* (NUREG-0654).
6. *An ADA Guide for Local Governments: Making Community Emergency Preparedness and Response Programs Accessible to People with Disabilities* (available online at <http://www.usdoj.gov/crt/ada/emergencyprep.htm>)

APPENDIX B: STATUS OF JURISDICTIONS SUBMITTING CERTIFICATION MATRICES

Status of States/Territories Submitting Certification Matrices

State/Territory	Certification Matrix Submitted
Alabama	✓
Alaska	✓
American Samoa	✓
Arizona	✓
Arkansas	✓
California	✓
Connecticut	✓
Colorado	✓
Delaware	✓
District of Columbia	✓
Florida	✓
Georgia	✓
Guam	✓
Hawaii	✓
Idaho	✓
Illinois	✓
Indiana	✓
Iowa	✓
Kansas	✓
Kentucky	✓
Louisiana	✓
Maine	✓
Maryland	✓
Massachusetts	✓
Michigan	✓
Minnesota	✓
Mississippi	✓
Missouri	✓
State/Territory	Certification Matrix Submitted
Montana	✓
Nebraska	✓
Nevada	✓
New Hampshire	✓
New Jersey	✓
New Mexico	✓
New York	✓
North Carolina	✓
North Dakota	✓
N. Mariana Islands	✓
Ohio	✓
Oklahoma	✓
Oregon	✓
Pennsylvania	✓
Puerto Rico	✓
Rhode Island	✓
South Carolina	✓
South Dakota	✓
Tennessee	✓
Texas	✓
Utah	✓
Vermont	✓
Virgin Islands	✓
Virginia	✓
Washington	✓
West Virginia	✓
Wisconsin	✓
Wyoming	✓

Status of Urban Areas Submitting Certification Matrices

Urban Area	Certification Matrix Submitted	Urban Area	Certification Matrix Submitted
Albany, NY	✓	Mesa, AZ	✓
Albuquerque, NM	✓	Miami, FL	✓
Anaheim, CA	✓	Milwaukee, WI	✓
Anchorage, AK	✓	Minneapolis	✓
Arlington, TX	✓	Nashville-Davidson, TN	✓
Atlanta, GA	✓	National Capital Region	✓
Aurora, CO	✓	New Haven, CT	✓
Austin, TX	✓	New Orleans, LA	✓
Baltimore, MD	✓	New York, NY	✓
Baton Rouge, LA	✓	Newark NJ	✓
Boston, MA	✓	Oakland, CA	✓
Buffalo, NY	✓	OK City, OK	✓
Charlotte, NC	✓	Omaha, NE	✓
Chicago, IL	✓	Orlando, FL	✓
Cincinnati, OH	✓	Philadelphia, PA	✓
Cleveland, OH	✓	Phoenix, AZ	✓
Colorado Springs, CO	✓	Pittsburgh, PA	✓
Columbus, OH	✓	Portland, OR	✓
Corpus Christi, TX	✓	Raleigh, NC	✓
Dallas, TX	✓	Richmond, VA	✓
Denver, CO	✓	Riverside, CA	✗
Detroit, MI	✓	Sacramento, CA	✗
EI Paso, TX	✓	San Antonio, TX	✓
Fort Worth, TX	✓	San Diego, CA	✓
Fresno, CA	✓	San Francisco, CA	✓
Honolulu, HI	✓	San Jose, CA	✓
Houston, TX	✓	Santa Ana, CA	✓
Indianapolis, IN	✓	Seattle, WA	✓
Jacksonville, FL	✓	St. Louis, MO	✓
Jersey City, NJ	✓	St. Paul, MN	✓
Kansas City, MO/KS	✓	St. Petersburg, FL	✓
Las Vegas, NV	✓	Tampa, FL	✓
Lexington-Fayette, KY	✓	Toledo, OH	✓
Lincoln, NE	✓	Tucson, AZ	✓
Long Beach, CA	✗	Tulsa, OK	✓
Los Angeles, CA	✓	VA Beach, VA	✓
Louisville, KY	✓	Wichita, KS	✓
Memphis, TN	✓		

APPENDIX C: SUPPORTING GRAPHS AND CHARTS

Figure 1.1: Consistency of States' Plan with Existing Federal Planning Guidance and Voluntary Standards

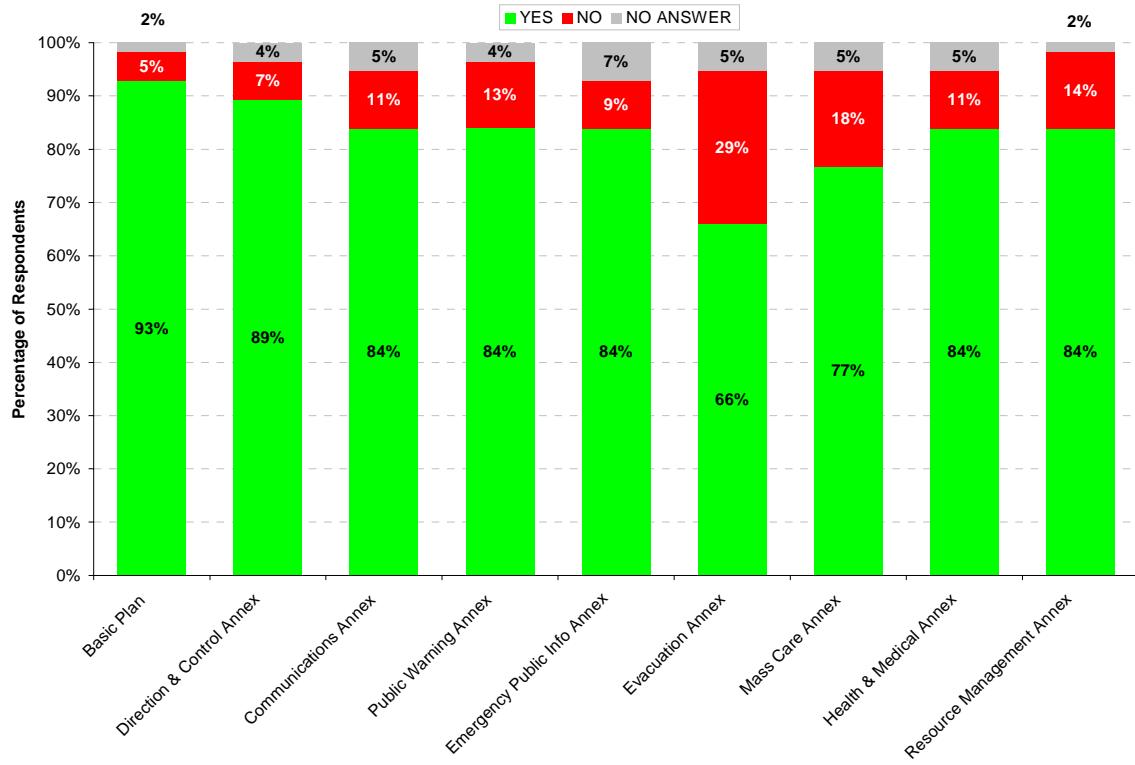
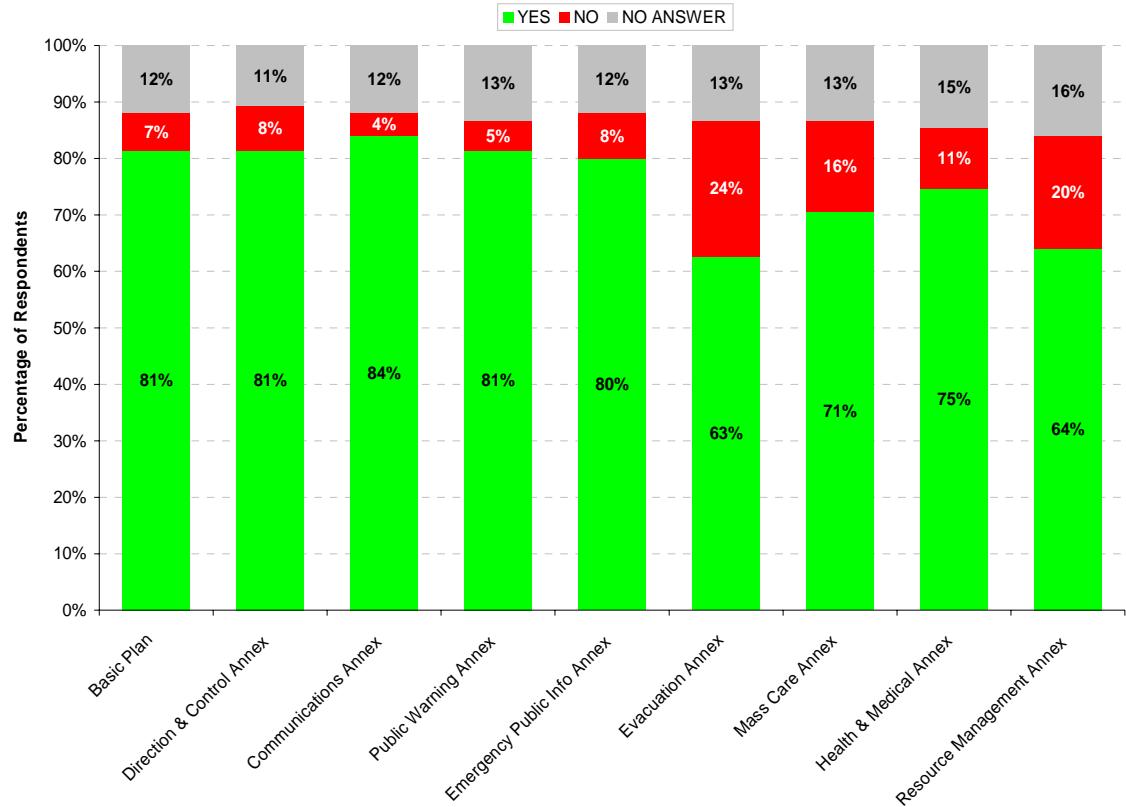


Figure 1.2: Consistency of Urban Areas' Plans with Existing Federal Planning Guidance and Voluntary Standards



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Figure 2.1: Adequacy of States' Basic Plans to Manage Catastrophes Compared to Consistency with Existing Federal Planning Guidance and Voluntary Standards

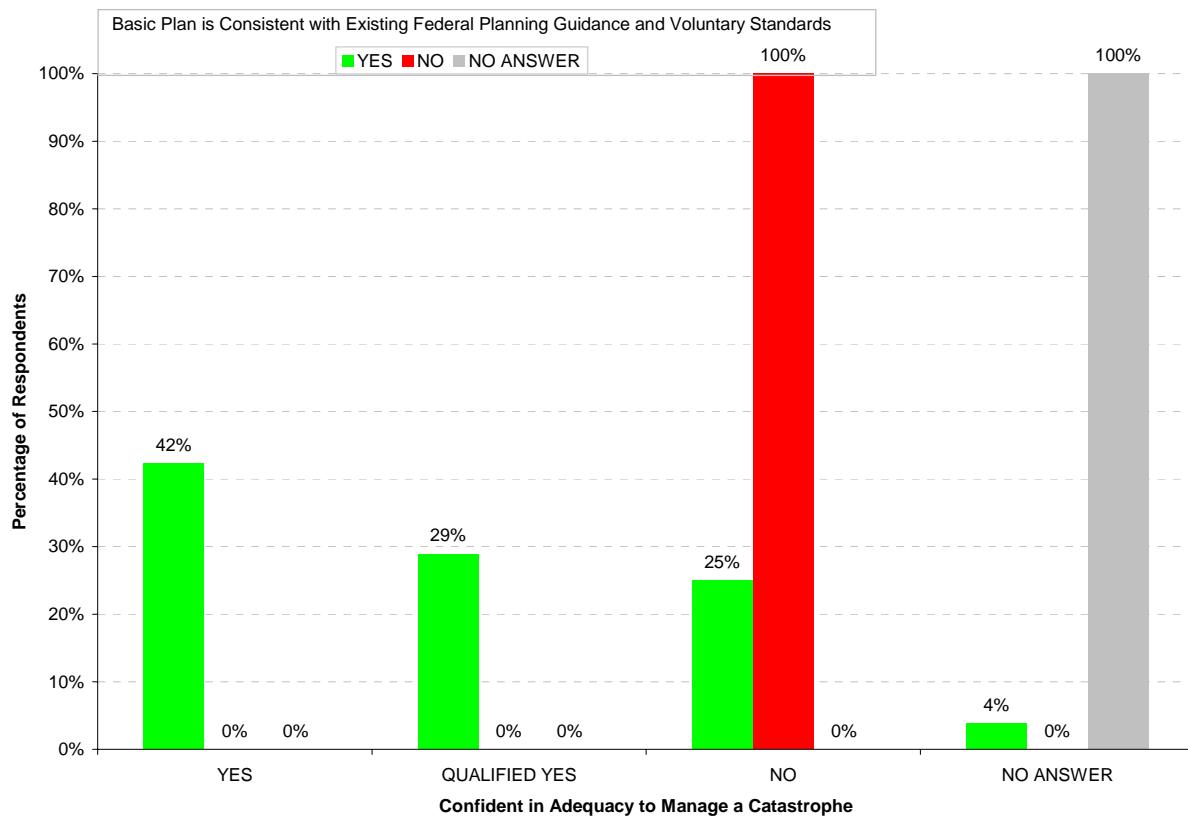
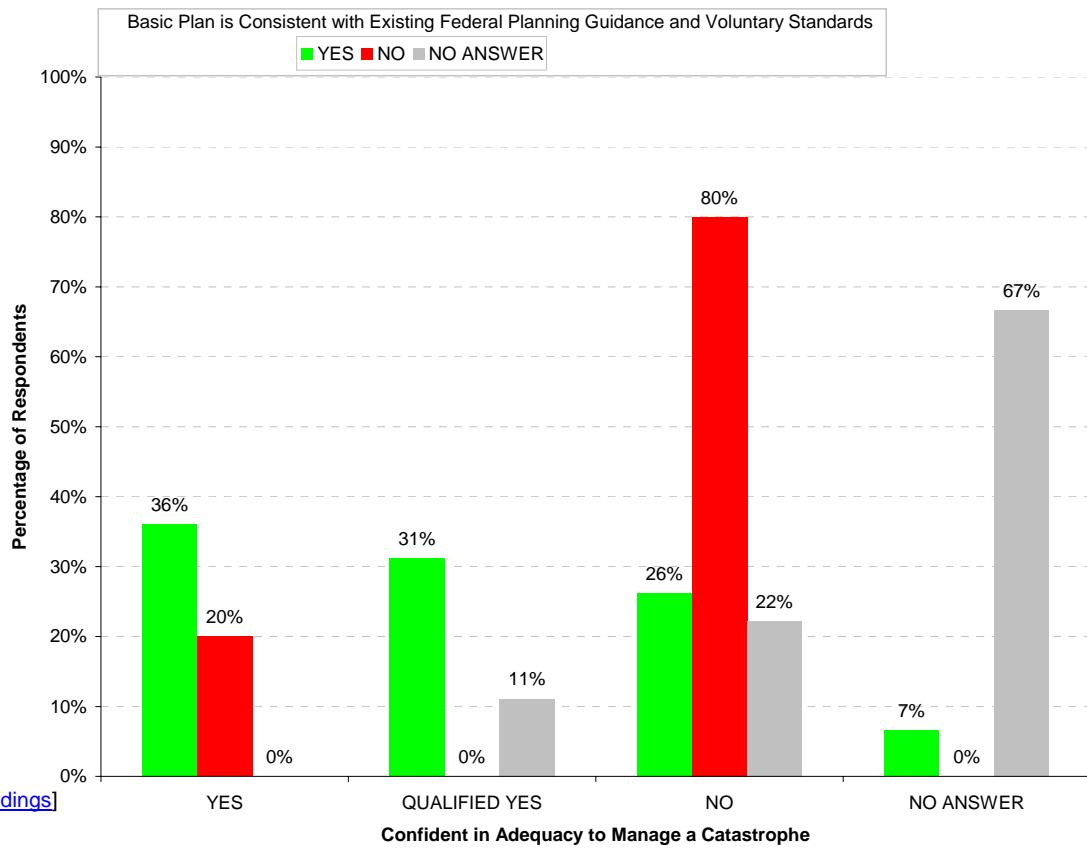
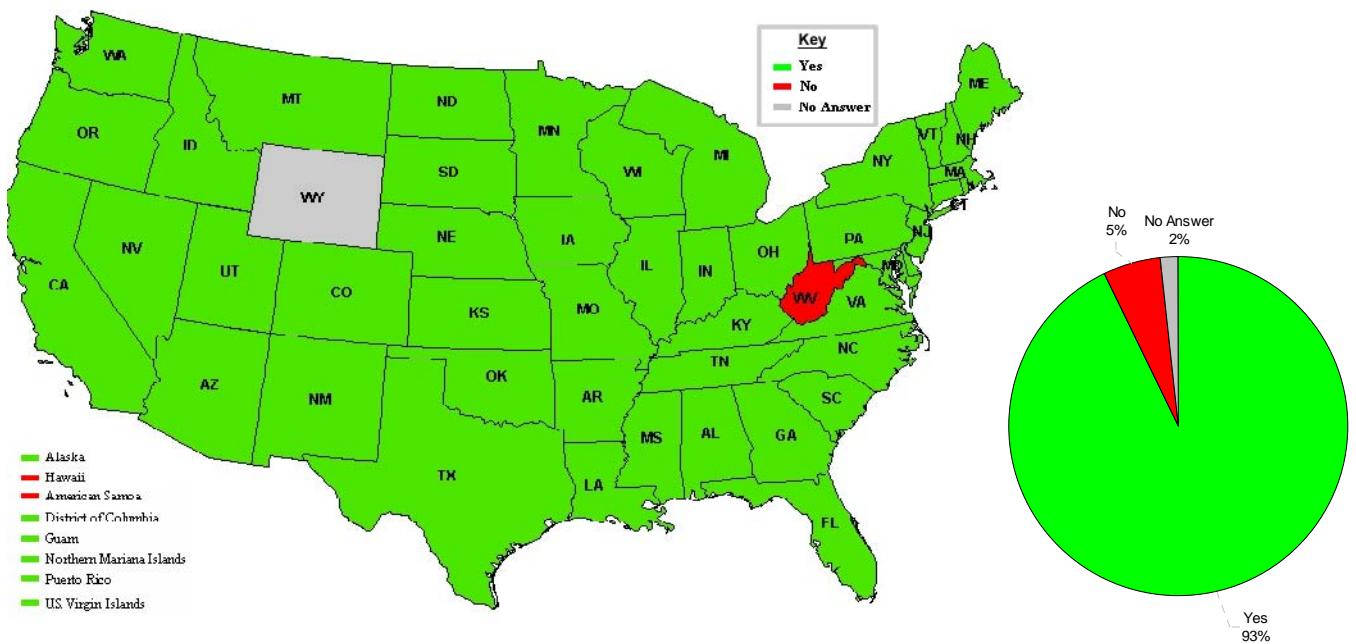


Figure 2.2: Adequacy of Urban Areas' Basic Plans to Manage Catastrophes Compared to Consistency with Existing Federal Planning Guidance and Voluntary Standards

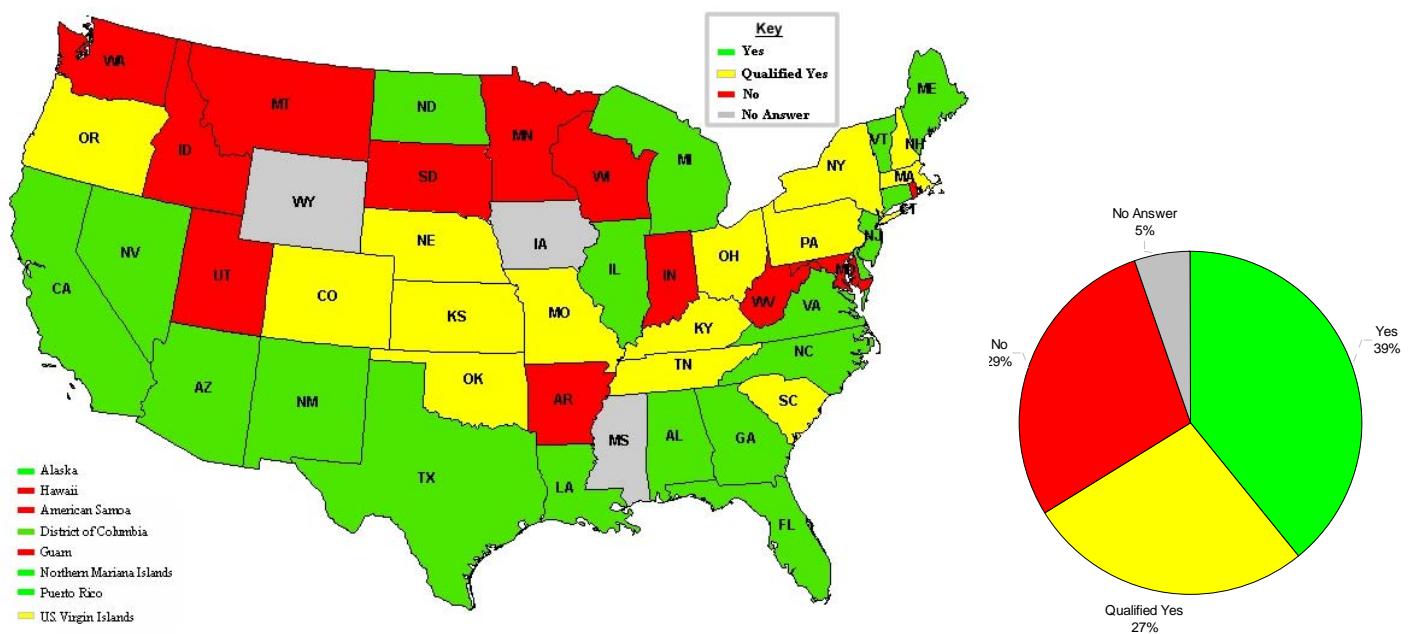


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Map 2.1: Basic Plan is Consistent with Existing Federal Planning Guidance and Voluntary Standards

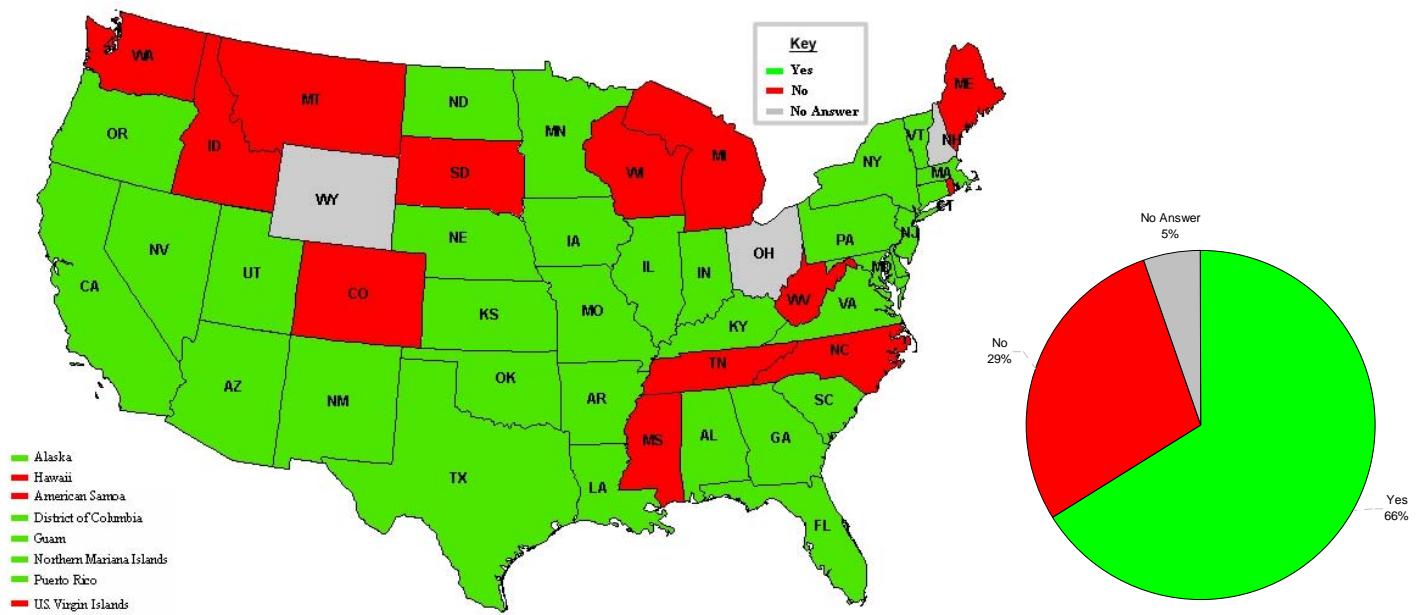


Map 2.2: Confident that Basic Plan is Adequate to Manage Catastrophic Events

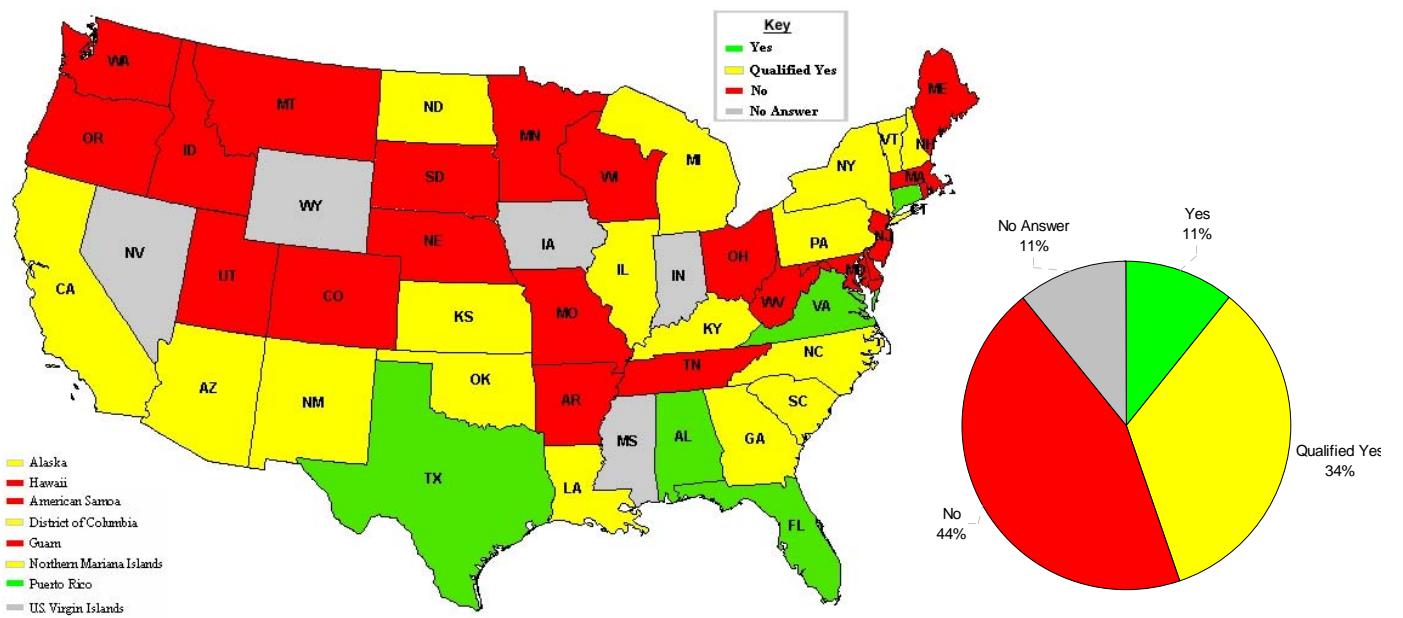


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Map 2.3: Evacuation Annex is Consistent with Existing Federal Planning Guidance and Voluntary Standards



Map 2.4: Confident that Evacuation Annex is Adequate to Manage Catastrophic Events



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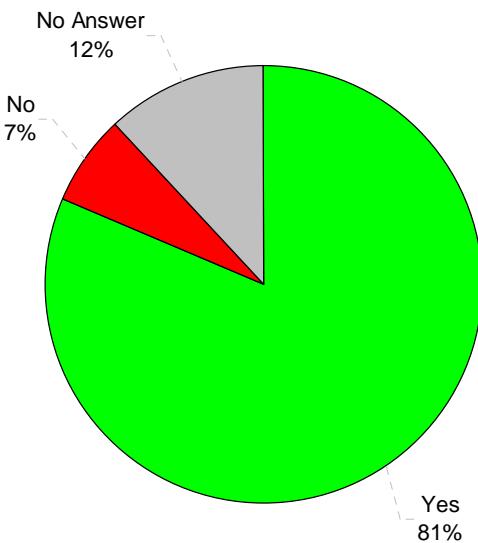


Figure 2.3: Basic Plan is Consistent with Existing Federal Planning Guidance and Voluntary Standards

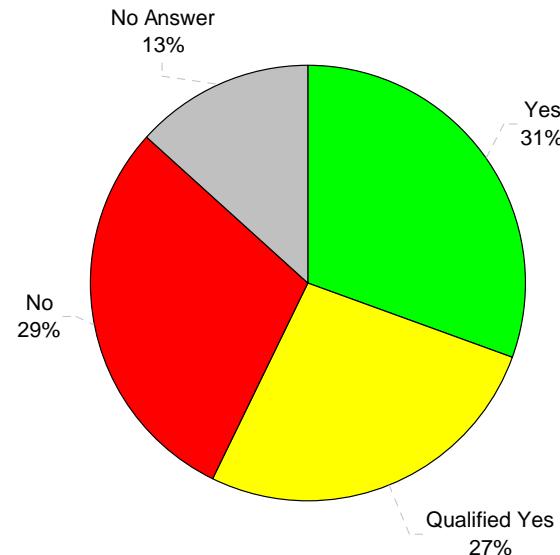


Figure 2.4: Confident that Basic Plan is Adequate to Manage Catastrophic Events

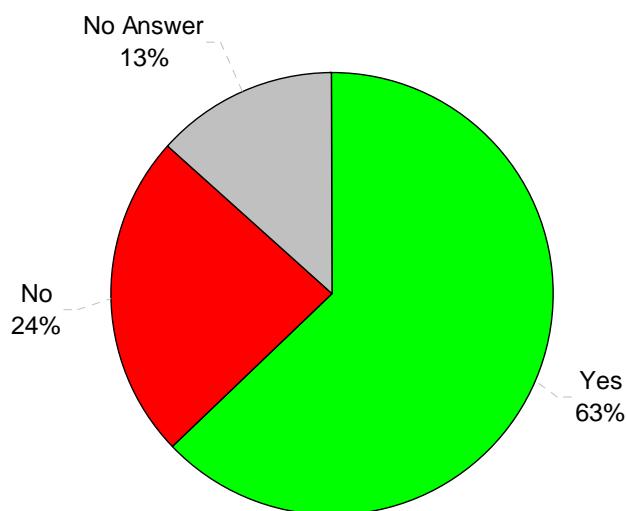


Figure 2.5: Evacuation Annex is Consistent with Existing Federal Planning Guidance and Voluntary Standards

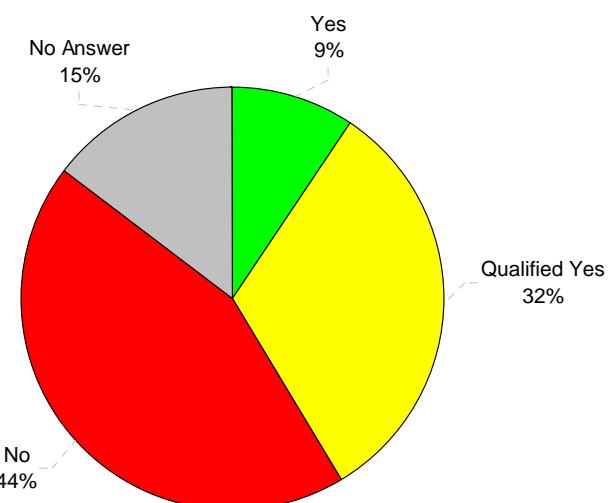
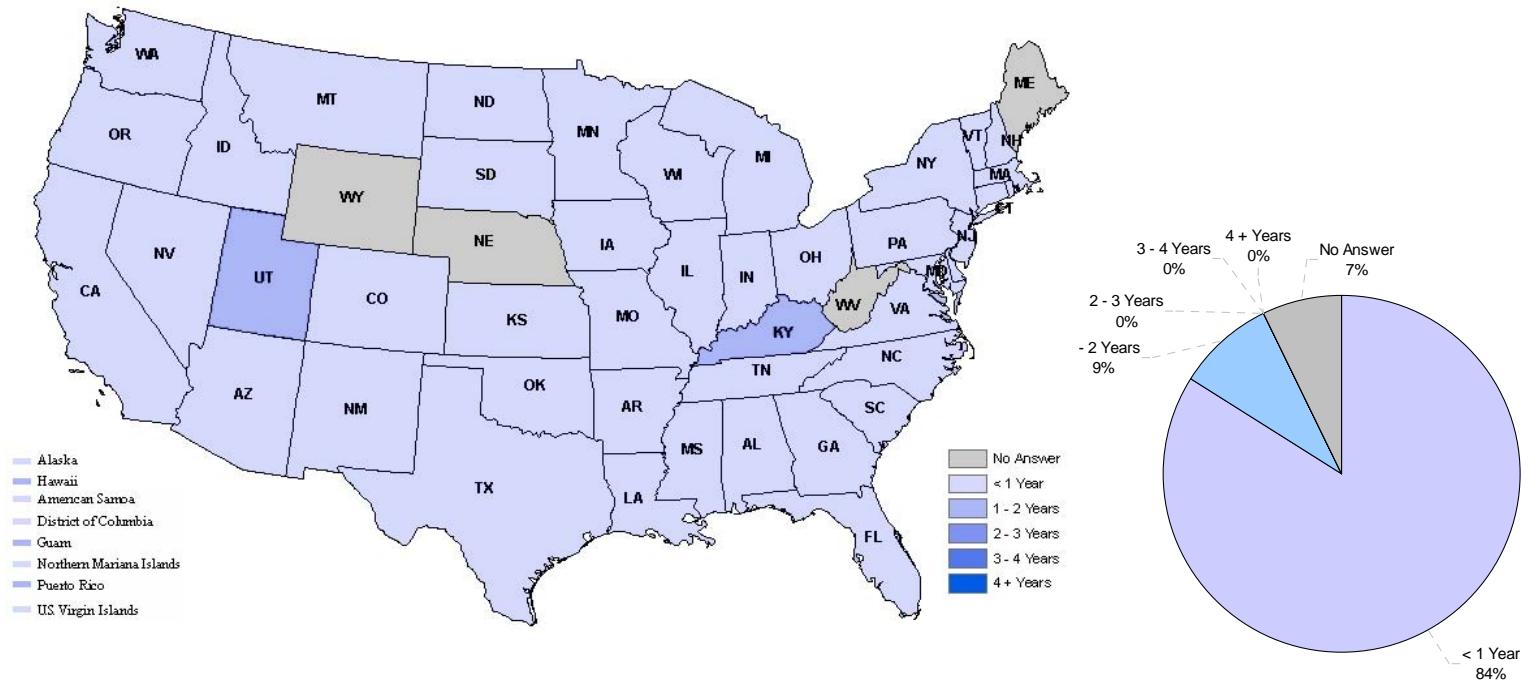
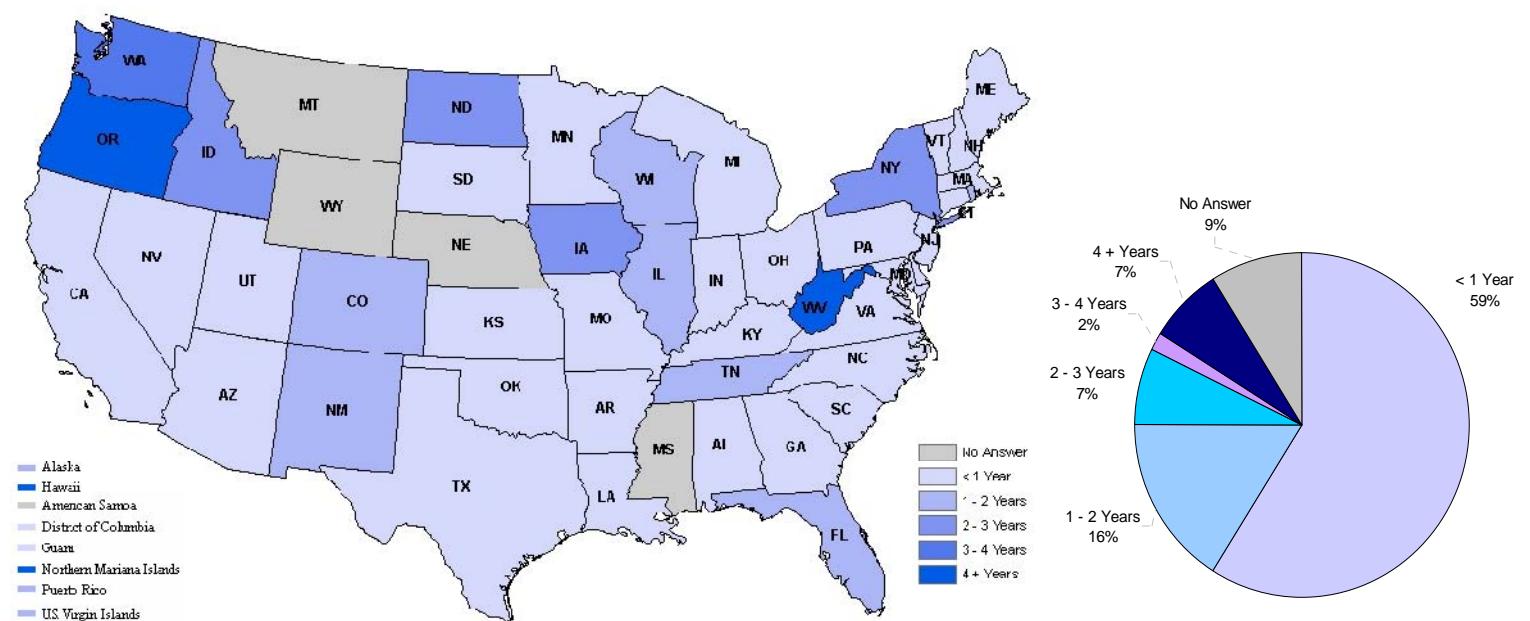


Figure 2.6: Confident that Evacuation Annex is Adequate to Manage Catastrophic Events

Map 3.1: Last Exercised Basic Plan

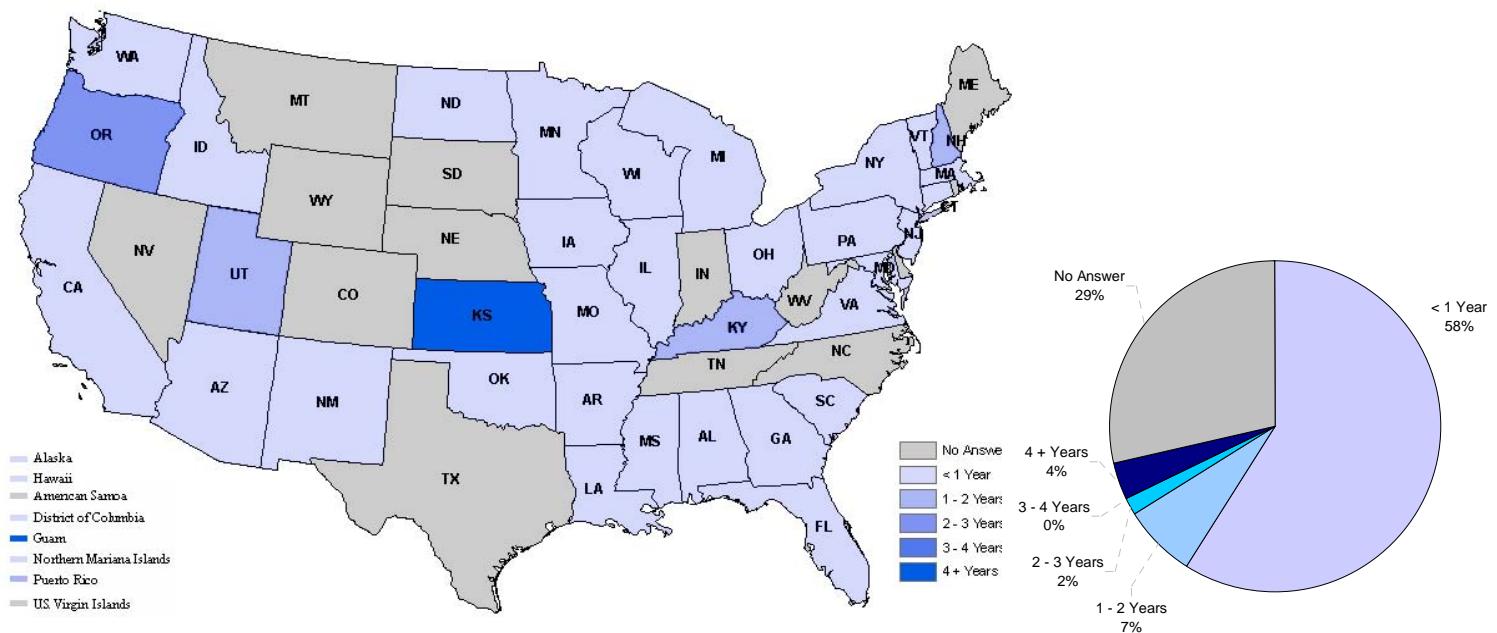


Map 3.2: Last Updated Basic Plan

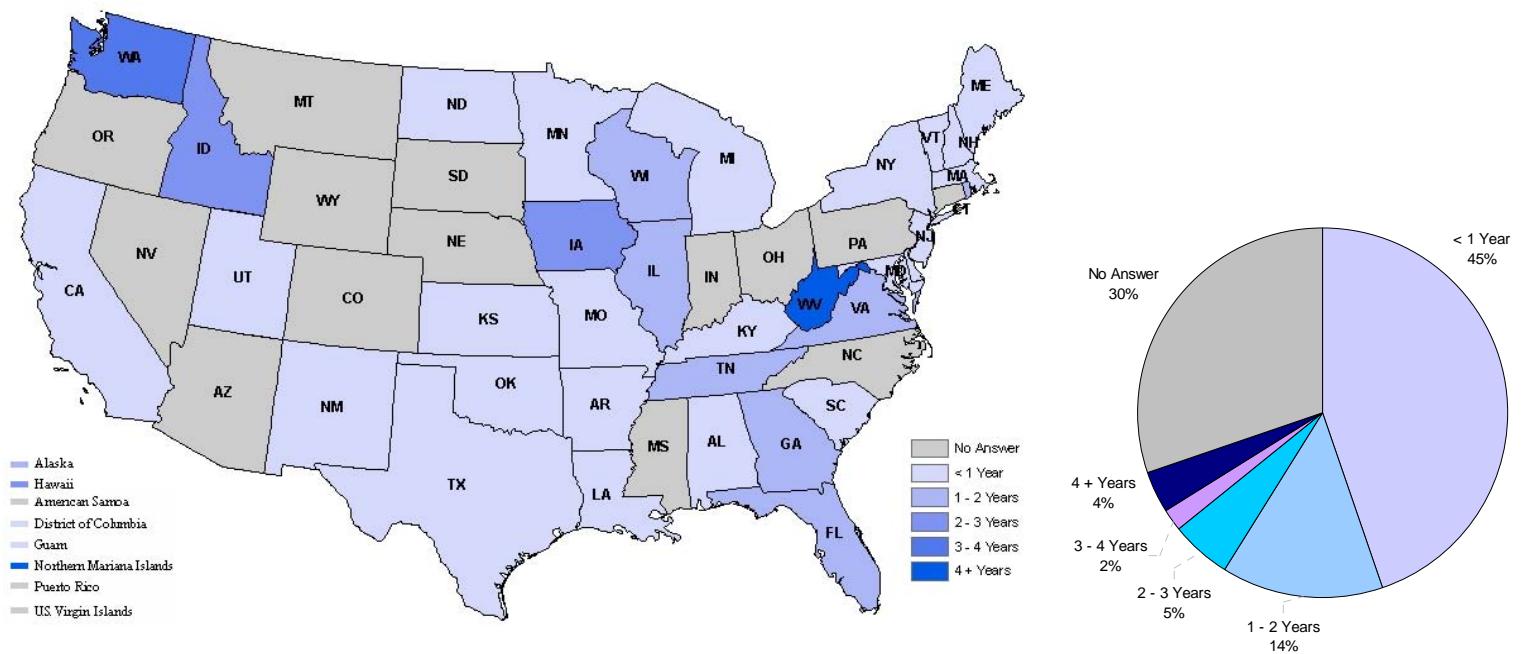


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Map 3.3: Last Exercised Evacuation Annex



Map 3.4: Last Updated Evacuation Annex



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Figures 3.1 – 3.4: Urban Area Basic Plan and Evacuation Annex Responses – Last Exercised and Updated

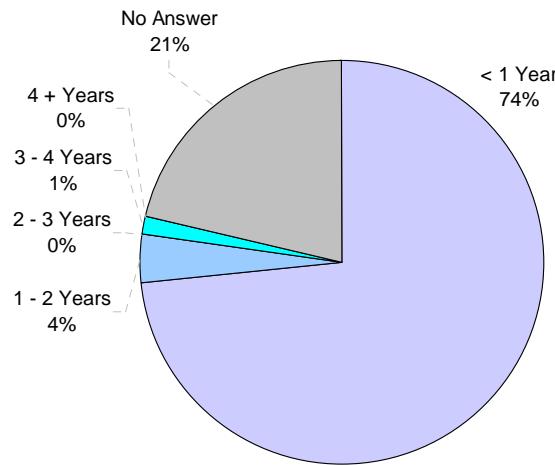


Figure 3.1: Urban Area Basic Plan Responses - Last Exercised

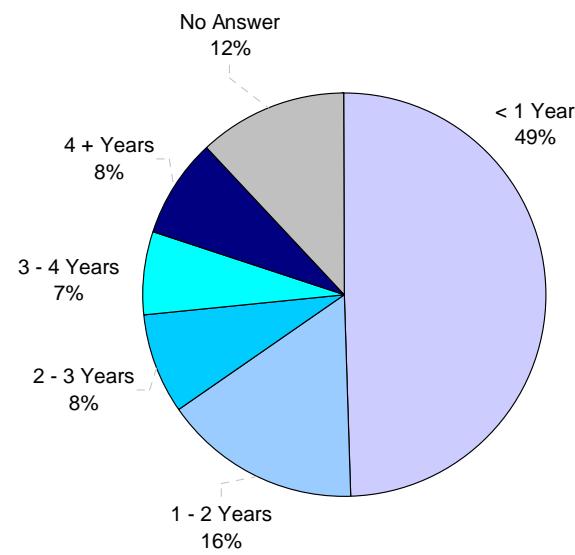


Figure 3.2: Urban Area Basic Plan Responses - Last Updated

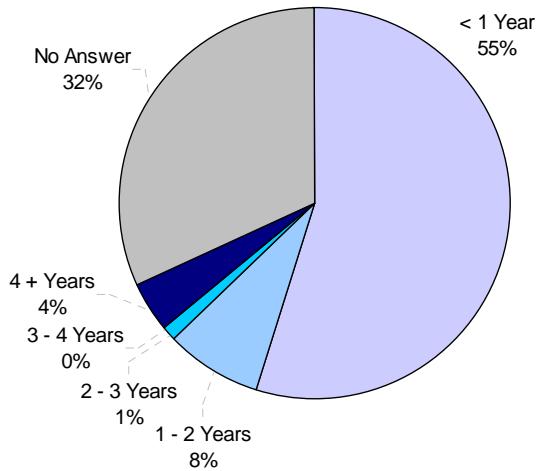


Figure 3.3: Urban Area Evacuation Annex Responses - Last Exercised

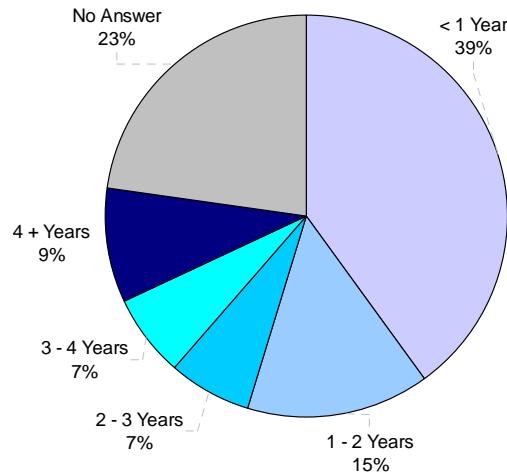


Figure 3.4: Urban Area Evacuation Annex Responses - Last Updated

Figure 4.1: Consistency of States' Basic Plans with Existing Federal Planning Guidance and Voluntary Standards Compared to Last Update of Basic Plan

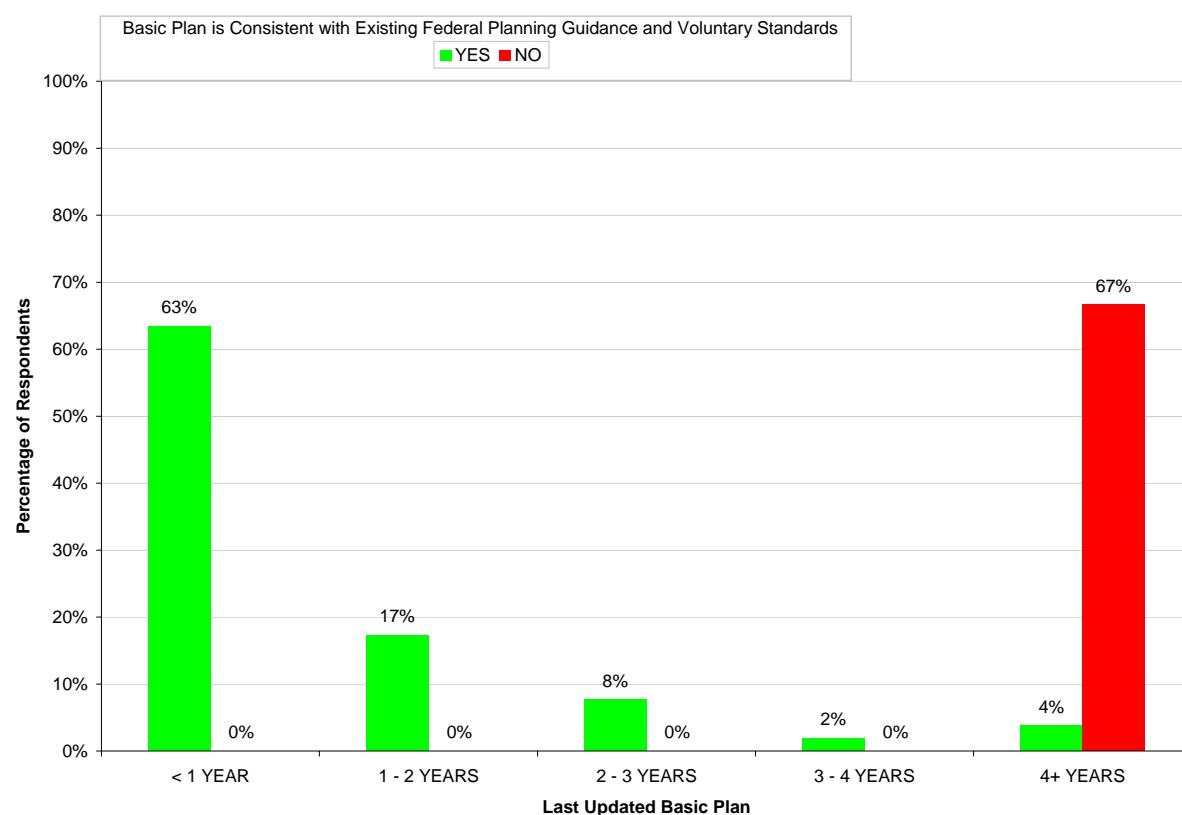
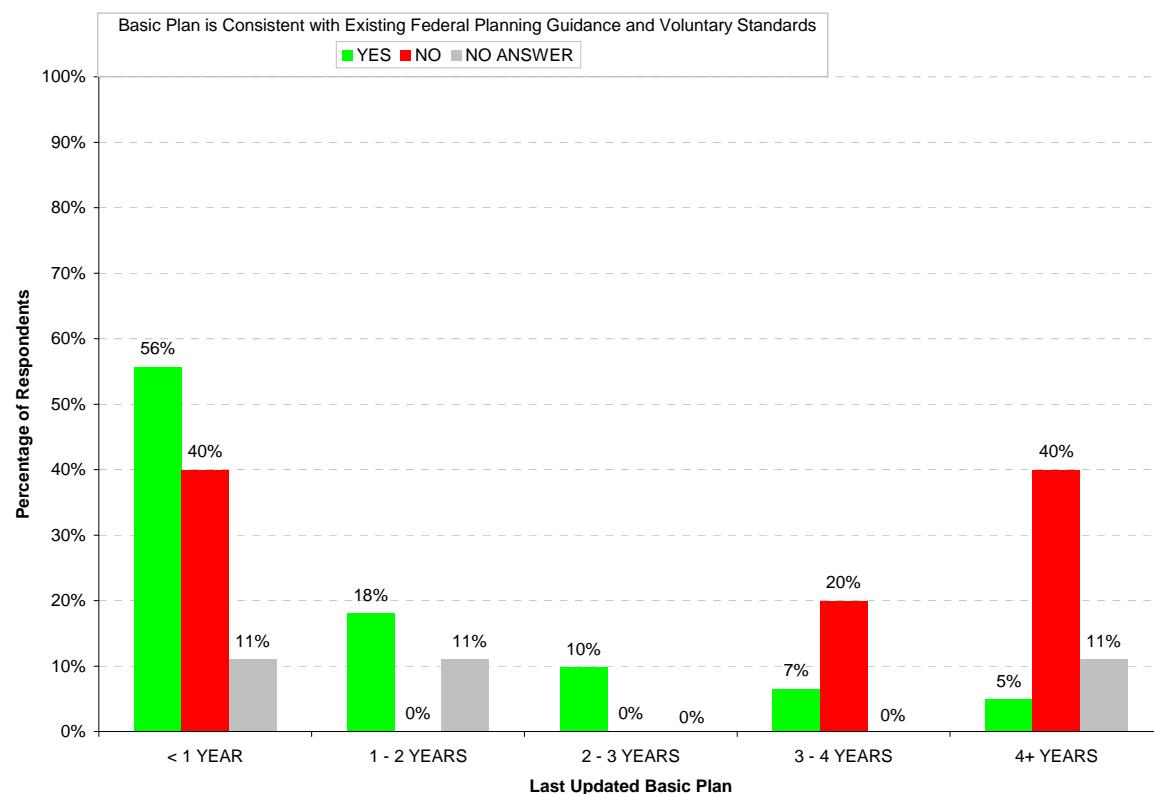


Figure 4.2: Consistency of Urban Areas' Basic Plans with Existing Federal Planning Guidance and Voluntary Standards Compared to Last Update of Basic Plan



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Figure 5.1: Adequacy of States' Basic Plans to Manage Catastrophes Compared to Last Update of Basic Plan

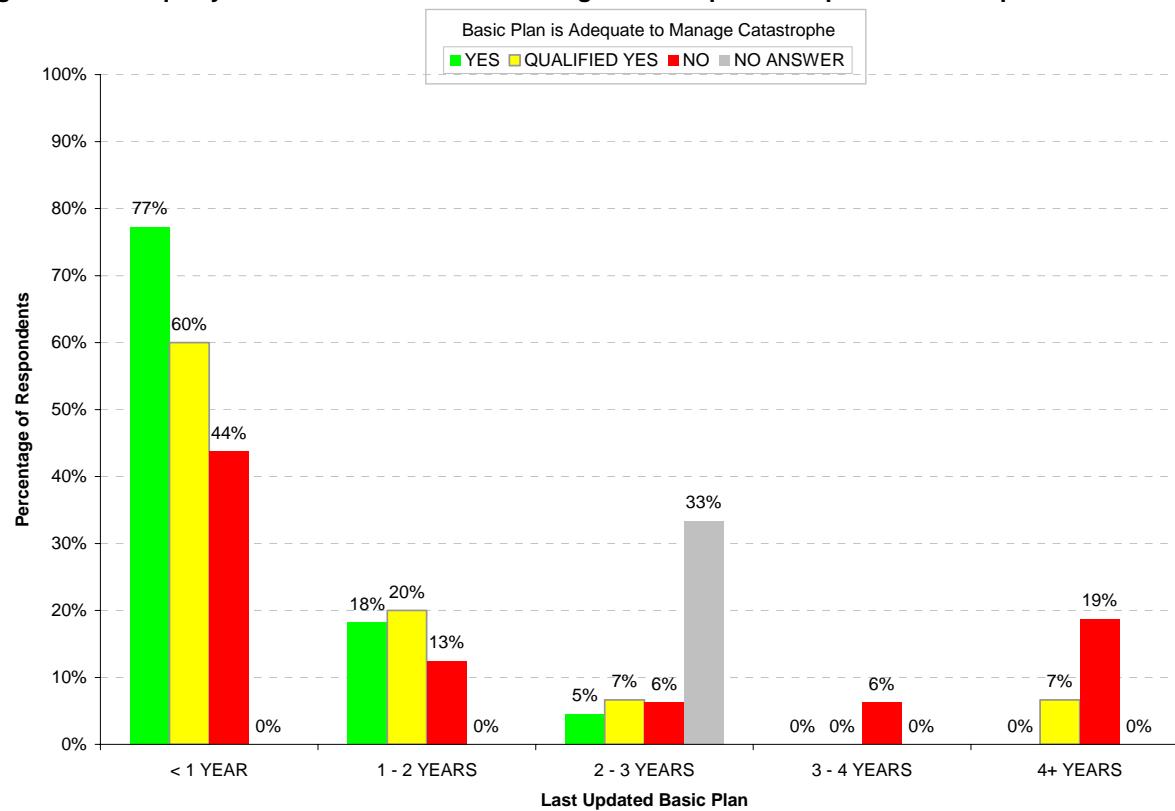
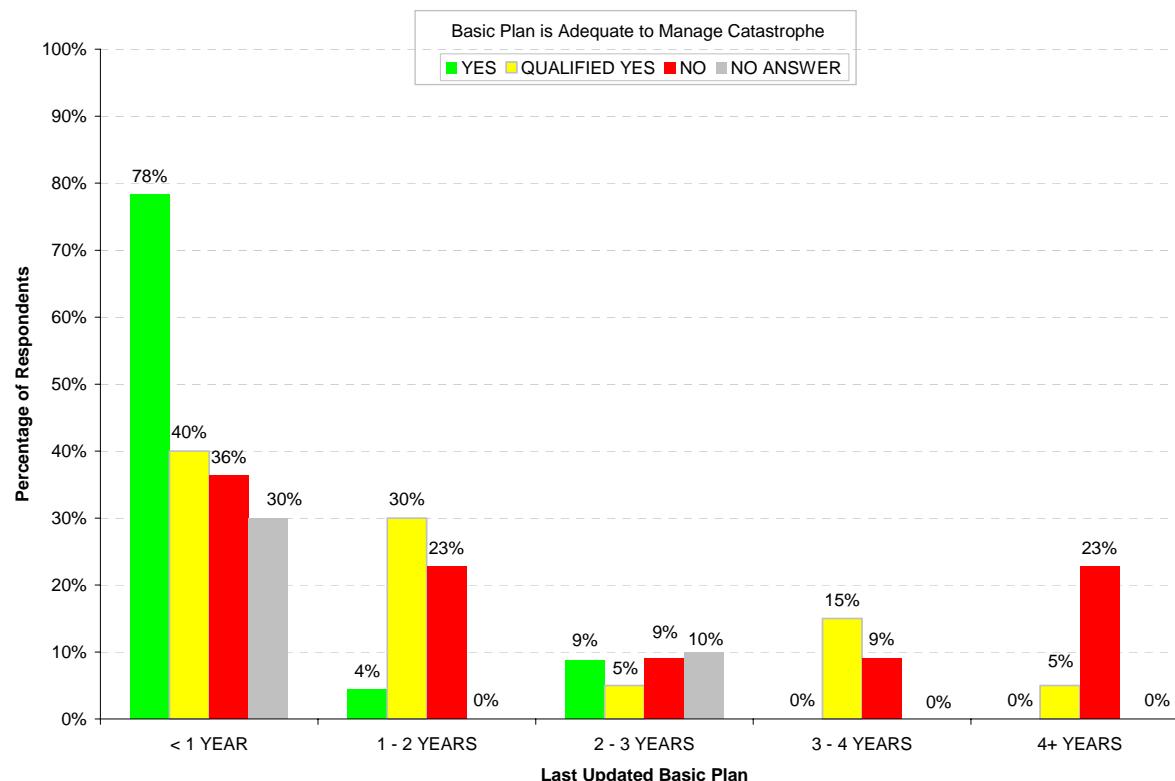


Figure 5.2: Adequacy of Urban Areas' Basic Plans to Manage Catastrophes Compared to Last Update of Basic Plan



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Figure 6.1: Consistency of States' Basic Plans with Existing Federal Planning Guidance and Voluntary Standards Compared to Population Size

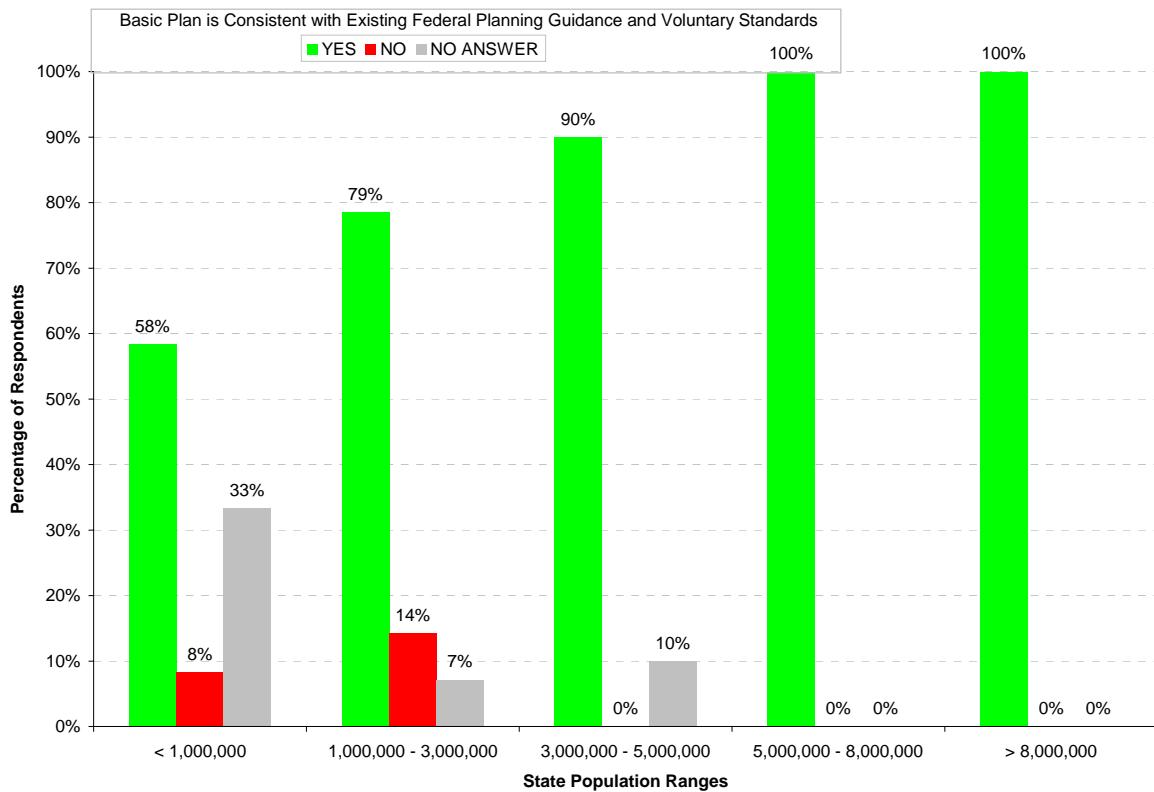
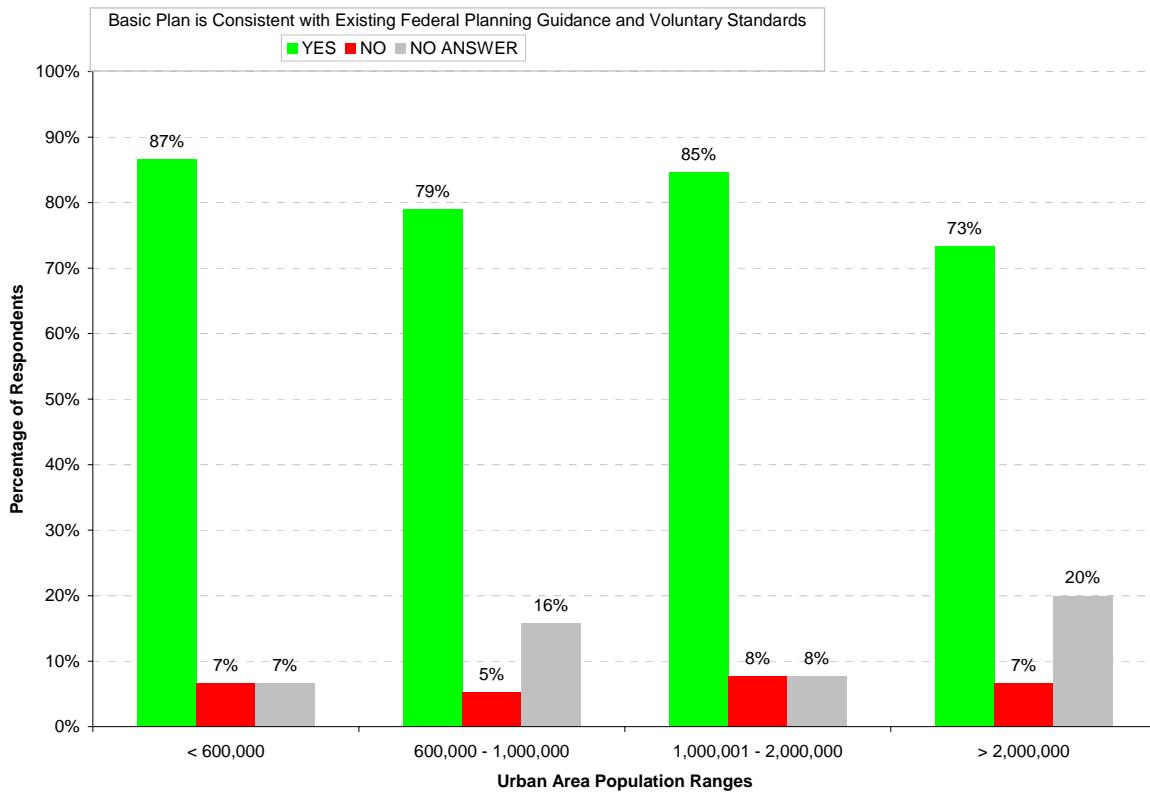


Figure 6.2: Consistency of Urban Areas' Basic Plans with Existing Federal Planning Guidance and Voluntary Standards Compared to Population Size



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APPENDIX D: ACRONYM LIST

AAR	After-Action Report
CAR	Capability Assessment for Readiness
CEMP	Comprehensive Emergency Management Plan
CERT	Community Emergency Response Team
COG	Continuity of Government
COOP	Continuity of Operations
DHS	Department of Homeland Security
EM	Emergency Manager <i>or</i> Emergency Management
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Accreditation Program
EOC	Emergency Operating Center/Emergency Operations Center
EOP	Emergency Operations Plan
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
FY	Fiscal Year
IB	Information Bulletin
MAA	Mutual Aid Agreement
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NFPA	National Fire Protection Association
NIMS	National Incident Management System
NRP	National Response Plan
NUREG	Nuclear Regulation
OGT	Office of Grants and Training
PSA	Public Service Announcement
SOP	Standard Operating Procedure
SME	Subject-Matter Expert
TCL	Target Capability List
UASI	Urban Areas Security Initiative
UTL	Universal Task List

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